

# DNA Computing: Modelling in Formal Languages and Combinatorics on Words, and Complexity Estimation

by

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## **Author's Declaration**

This thesis consists of material all of which I authored or co-authored: see Statement of Contributions included in the thesis. This is a true copy of the thesis, including any required final revisions, as accepted by my examiners.

I understand that my thesis may be made electronically available to the public.

## Statement of Contributions

The main contribution of this thesis consists of the following published articles:

- “Word blending in formal languages” published in *Fundamenta Informaticae* is the extended revised journal version of a conference paper I co-authored during my MSc study titled “Word blending in formal languages: the Brangelina effect.” In particular, this paper contains complete proofs for all results (omitted if already included in the conference paper), numerous examples, expanded discussion of inverses of blending, new results concerning the iterated blending of languages, and revised state complexity results. The authors are ordered by last name alphabetically. The major individual contributions are listed below.

Srujan K. Enaganti—topic.

Lila Kari—topic, research ideas and proofs, results, and manuscript writing and editing.

Timothy Ng—topic, research ideas and proofs, results, and manuscript writing and editing.

Zihao Wang—topic, research ideas and proofs, results, and manuscript writing and editing (in particular, Section 3.4.1 and Section 3.4.2).

- The paper “Conjugate word blending: Formal model and experimental implementation by XPCR” was published in *Natural Computing*. The authors are ordered by last name alphabetically. The major individual contributions are listed below.

Francesco Bellamoli—topic, research ideas, biology experiments, and results.

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Zihao Wang—topic, research ideas and proofs, results, and manuscript writing and editing (in particular, Section 3.5).

- The paper “Involution Fibonacci words” was published in *Journal of Automata, Languages and Combinatorics*. The authors are ordered by last name alphabetically. The major individual contributions are listed below.

Lila Kari—topic, research ideas and proofs, results, and manuscript writing and editing.

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Kalpana Mahalingam—topic, research ideas and proofs, results, and manuscript writing and editing.

Zihao Wang—topic, research ideas and proofs, results, and manuscript writing and editing (in particular, Section 4.1, Section 4.3, and Section 4.4).

- The paper “Primitivity of atom Watson-Crick Fibonacci words” was published in *Journal of Automata, Languages and Combinatorics*. The authors are ordered by last name alphabetically. The major individual contributions are listed below.

Lila Kari—topic, research ideas and proofs, results, and manuscript writing and editing.

Kalpana Mahalingam—topic, research ideas and proofs, results, and manuscript writing and editing.

Palak Pandoh—topic, research ideas, proofs, and results.

Zihao Wang—topic, research ideas and proofs, results, and manuscript writing and editing (in particular, Section 4.2, Section 4.6, and Section 4.7).

- The paper “As good as it gets: A scaling comparison of DNA computing, network biocomputing, and electronic computing approaches to an NP-complete problem” was published in *New Journal of Physics*. The first two authors contributed equally. The major individual contributions are listed below.

Ayyappasamy S. Perumal—topic, research ideas, data curation and analysis, visualization, biology analysis, and manuscript writing and editing.

Zihao Wang—topic, research ideas, data curation and analysis, visualization, and manuscript writing and editing (in particular, Section 5.2 and Section 5.5).

Giulia Ippoliti—topic, research ideas, and results.

Falco C. M. J. M. van Delft—topic, research ideas, results, biochemistry analysis, and manuscript writing and editing.

Lila Kari—topic, research ideas, results, and manuscript writing and editing.

Dan V. Nicolau—topic, research ideas, results, manuscript writing and editing, and biochemistry analysis.

## Abstract

DNA computing, an essential area of unconventional computing research, encodes problems using DNA molecules and solves them using biological processes. This thesis contributes to the theoretical research in DNA computing by modelling biological processes as computations and by studying formal language and combinatorics on words concepts motivated by DNA processes. It also contributes to the experimental research in DNA computing by a scaling comparison between DNA computing and other models of computation.

First, for theoretical DNA computing research, we propose a new word operation inspired by a DNA wet lab protocol called cross-pairing polymerase chain reaction (XPCR). We define and study a word operation called word blending that models and generalizes an unexpected outcome of XPCR. The input words are  $\alpha w \gamma_1$  and  $\gamma_2 w \beta$  that share a non-empty overlap  $w$ , and the output is the word  $\alpha w \beta$ . Closure properties of the Chomsky families of languages under this operation and its iterated version, the existence of a solution to equations involving this operation, and its state complexity are studied. To follow the XPCR experimental requirement closely, a new word operation called conjugate word blending is defined, where the subwords  $\gamma_1$  and  $\gamma_2$  are required to be identical. Closure properties of the Chomsky families of languages under this operation and the XPCR experiments that motivate and implement it are presented.

Second, we generalize the sequence of Fibonacci words inspired by biological concepts on DNA. The sequence of Fibonacci words is an infinite sequence of words obtained from two initial letters  $f_1 = a$  and  $f_2 = b$ , by the recursive definition  $f_{n+2} = f_{n+1} \cdot f_n$ , for all positive integers  $n \geq 1$ , where “ $\cdot$ ” denotes word concatenation. After we propose a unified terminology for different types of Fibonacci words and corresponding results in the extensive literature on the topic, we define and explore involutive Fibonacci words motivated by ideas stemming from theoretical studies of DNA computing. The relationship between different involutive Fibonacci words and their borderedness and primitivity are studied.

Third, we analyze the practicability of DNA computing experiments since DNA computing and other unconventional computing methods that solve computationally challenging problems often have the limitation that the space of potential solutions grows exponentially with their sizes. For such problems, DNA computing algorithms may achieve a linear time complexity with an exponential space complexity as a trade-off. Using the subset sum problem as the benchmark problem, we present a scaling comparison of the DNA computing (DNA-C) approach with the network biocomputing (NB-C) and the electronic computing (E-C) approaches, where the volume, computing time, and energy required,

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# Chapter 1

## Introduction

The central dogma of molecular biology explains the flow of genetic information within a biological system, where the information in DNA can be transferred to DNA or to protein molecules via RNA. Although proteins are the building blocks of life, they are created according to the information stored in DNA. Similarly to the information stored as bits in electronic computers, the information in DNA can also be manipulated and used for computation, and this area of research is called *DNA computing*. Research in this area started about thirty years ago when Adleman solved a seven-city instance of the *directed Hamiltonian path problem* using DNA [3]. This new approach inspired the study of DNA computing both theoretically and experimentally. In this thesis, we study three separate but inter-related research topics in DNA computing: modelling biology processes as a formal language operation, studying combinatorics on words inspired by DNA, and complexity estimation of DNA computing experiments.

Recall that a formal model of computation, called the *Turing machine*, was invented by Alan Turing in 1936, and the Church-Turing thesis states that all effective computations can be carried out by a Turing machine [52]. There are also some formal systems defined by some biologically inspired word operations that have been shown to have computational power equivalent to that of the Turing machine, such as those in [150, 152, 165]. Therefore, modelling DNA processes as bio-operations and studying these bio-operations as formal language operations are the first steps, which may lead to the creation of a DNA-based computer. The DNA processes that can be used to implement computations include naturally-occurring biology phenomena, such as the actions of enzymes on DNA strands, and biology experiment protocols and techniques. For example, the action of DNA polymerase was modelled as *template-directed extension* [74], and gene recombination by the lab protocol called *cross-pairing polymerase chain reaction (XPCR)* was formalized as

*overlap assembly* [73]. These operations were studied as formal language operations, and properties, such as closure property, decidability, and state complexity, were considered. In this thesis, we first define and study two bio-operations inspired by the unexpected outcome of XPCR when the input strands are of a particular type.

Another research direction of theoretical DNA computing is related to combinatorics on words, which dates back to the early 1900s when Axel Thue proved the existence of square-free words of an arbitrarily large length [20]. The field of combinatorics on words studies the structure of words, such as borderedness, palindromes, repetitions, and counting. Combining the field of DNA computing and the field of combinatorics on words offers an exciting opportunity to study the structure of words that can be generated by systems defined by some bio-operations. For example, the sequence of Fibonacci words obtained from two initial letters by a recursive definition was well studied in the field of combinatorics on words. In this thesis, we then study a generalization of the Fibonacci words motivated by ideas stemming from theoretical studies of DNA computing.

For electronic computers, different algorithms for a problem can be compared using their time and space complexity, and a similar idea can be applied to DNA computing procedures and other natural computing algorithms for solving computational problems. For the experimental aspect of DNA computing, the time, space, and energy complexity of a DNA computing procedure for a benchmark problem can be considered. Among potential benchmark problems, those belonging to the class referred to as *nondeterministic polynomial time complete (NP-complete)* are of most significant interest since they are related to practical problems in logic, graphs, arithmetic, biology, and chemistry. Finally, in this thesis, a scalability comparison among the classical electronic computing approach, a DNA computing algorithm, and a network biocomputing solution (another type of natural computing that uses biotic motile agents to implement computations) to a benchmark problem called the *subset sum problem (SSP)* will be given.

## 1.1 Thesis overview

This thesis is organized as follows.

Chapter 2 gives an overview of DNA computing. It starts with a brief biological background on DNA, followed by a description of the three main steps of a DNA computing procedure. It ends with an example of a DNA computing procedure implemented to solve a seven-node instance of the directed Hamiltonian path problem. This chapter is based on the paper [215] published in *New Journal of Physics*.

In Chapter 3, we first introduce formal language operations and some biologically inspired word operations. After reviewing the details of a lab protocol used to extract DNA strands, we discuss a bio-operation that models its outcome under normal circumstances. A generalization of the unexpected outcome of this lab protocol in case the input strands are of a particular type is modelled as a word operation called *word blending*, and another word operation that is more closely related to the experimental requirements is studied, followed by the description of the wet lab experiments that motivate these operations. This chapter is based on the paper [76] published in *Fundamenta Informaticae* and the paper [15] published in *Natural Computing*.

Chapter 4 gives a unified terminology of different types of Fibonacci words studied in the literature and defines several generalizations of Fibonacci words, called *involution Fibonacci words*, inspired by DNA Watson-Crick complementarity. The interrelationships between involutive Fibonacci words and the borderedness and primitivity of involutive Fibonacci words are discussed. This chapter is based on the papers [145, 149] published in *Journal of Automata, Languages and Combinatorics*.

Chapter 5 gives a scaling comparison of DNA computing, network biocomputing, and electronic computing approaches to the subset sum problem (SSP). After describing a DNA computing approach and a network biocomputing approach to SSP, the pre-computing costs, the volume needed for the computation, the run time, and the energy costs of different approaches for SSP are compared. This chapter is based on the paper [215] published in *New Journal of Physics*.

In Chapter 6, we conclude this thesis by reviewing the results and by suggesting future work.

## 1.2 Notation

This section lists basic notation used throughout this thesis. Notation used only within a chapter will be described in the beginning of that chapter.

An *alphabet*  $\Sigma$  is a finite non-empty set of symbols. We let  $\Sigma^*$  denote the set of all words over an alphabet  $\Sigma$ , including the *empty word*  $\lambda$ , and  $\Sigma^+$  denotes the set of all non-empty words over an alphabet  $\Sigma$ . If  $\alpha$  and  $\beta$  are two words over an alphabet  $\Sigma$ , their concatenation  $\alpha\beta$  is also a word over  $\Sigma$ . The empty word  $\lambda$  is an identity with respect to concatenation, where for all words  $\alpha \in \Sigma^*$ , we have  $\alpha\lambda = \lambda\alpha = \alpha$ . If  $\alpha$  is a word over an alphabet  $\Sigma$ , the word  $\alpha^i$ ,  $i \in \mathbb{N}$ , is a word over  $\Sigma$  obtained by concatenating  $i$  copies of the word  $\alpha$ . For all words  $\alpha \in \Sigma^*$ , we have  $\alpha^0 = \lambda$ , and for all numbers  $i \in \mathbb{N}$ , we have  $\lambda^i = \lambda$ .

The reverse or mirror image of a word is defined as  $\lambda = \lambda^r$  and  $(a_1a_2 \cdots a_n)^r = a_n \cdots a_2a_1$ , where  $a_i \in \Sigma$  for all  $1 \leq i \leq n$ . The length of the word  $w$  is denoted by  $|w|$ , and the number of occurrences of the letter  $a$  in a word  $w$  is denoted by  $|w|_a$ . For a positive integer  $i$ , we let  $\Sigma^i$  denote the set of all words of length  $i$  over  $\Sigma$ . For words  $w, x, y, z \in \Sigma^*$ , where  $w = xyz$ , we call the subwords  $x$ ,  $y$ , and  $z$  *prefix*, *infix*, and *suffix* of  $w$ , respectively. The sets  $\text{pref}(w)$ ,  $\text{inf}(w)$ , and  $\text{suff}(w)$  contain all prefixes, infixes, and suffixes of  $w$ , respectively. A prefix, suffix, or infix  $\alpha$  of a word  $w$  is said to be proper if  $\alpha \neq w$ , and it is said to be non-empty if  $\alpha \neq \lambda$ . The sets  $\text{Pref}(w)$ ,  $\text{Inf}(w)$ , and  $\text{Suff}(w)$  contain all proper prefixes, infixes, and suffixes of  $w$ , respectively. The sets  $\text{pref}'(w)$  and  $\text{suff}'(w)$  contain all non-empty prefixes and suffixes of  $w$ , respectively. For a word  $\alpha$ , the set of all letters that occur in  $\alpha$  is denoted by  $\text{Alph}(\alpha)$ . A *language*  $L$  is a subset of  $\Sigma^*$ . The complement of a language  $L \subseteq \Sigma^*$  is  $L^c = \Sigma^* \setminus L$ , the concatenation of two languages  $L_1$  and  $L_2$  is defined as  $L_1L_2 = \{uv \mid u \in L_1, v \in L_2\}$ , and the power of a language  $L$  is defined as  $L^0 = \{\lambda\}$ ,  $L^1 = L$ , and  $L^i = L^{i-1}L$  for all integers  $i \geq 2$ .

Binary formal language operations  $\diamond$  can be considered as a function  $\diamond : 2^{\Sigma^*} \times 2^{\Sigma^*} \rightarrow 2^{\Sigma^*}$ . Similarly, unary formal language operations  $\diamond$  can be viewed as a function  $\diamond : 2^{\Sigma^*} \rightarrow 2^{\Sigma^*}$ . A binary word operation  $\square^r$  is called the reversed operation of  $\square$  if for all  $\alpha, \beta \in \Sigma^*$ , we have that  $\alpha\square^r\beta = \beta\square\alpha$ .

In this thesis, we use the following conventions for variables unless noted otherwise:

- Integer variables are denoted by some lowercase letters from the middle of the English alphabet, such as  $i$ ,  $j$ , and  $k$ .
- Word variables are denoted by some letters from the Greek alphabet and some lowercase letters from the end of the English alphabet, such as  $\alpha$ ,  $\beta$ ,  $u$ ,  $v$ , and  $w$ .
- Letter variables are denoted by lowercase letters from the beginning of the English alphabet, such as  $a$ ,  $b$ , and  $c$ .
- Set variables are denoted by upper case letters from the English alphabet, such as  $L$  and  $S$ .

# Chapter 2

## Overview of DNA Computing

This chapter gives an overview of DNA computing. In Section 2.1, a concise biological background on DNA is given. In Section 2.2, the three main steps of a DNA computing procedure are described. The first step is to encode information as DNA, as detailed in Section 2.2.1. The second step is the DNA computation, which consists of a succession of bio-operations, and some of the main bio-operations used in the DNA computing experiments are listed in Section 2.2.2. The last step is reading the output of the DNA computation, as detailed in Section 2.2.3. In Section 2.3, an example of a DNA computing procedure implemented to solve a seven-node instance of the directed Hamiltonian path problem is described.

Parts of Section 2.2 and Section 2.3 are adapted from a paper I co-authored [215], titled “As good as it gets: A scaling comparison of DNA computing, network biocomputing, and electronic computing approaches to an NP-complete problem.”

### 2.1 Biological background

As shown in Figure 2.1 (right panel), a *deoxyribonucleic acid (DNA)* double strand is composed of two chains of *nucleotides*, and these chains are called *DNA single strands*. Each nucleotide (Figure 2.1, left panel) is composed of a nitrogenous base called a *nucleobase*, a sugar, and a phosphate group. There are four kinds of nucleobases: *adenine (A)*, *cytosine (C)*, *guanine (G)*, and *thymine (T)*. A nucleotide with the nucleobase A (respectively C, G, and T) is called nucleotide A (respectively C, G, and T). Illustrated in Figure 2.2, there are five carbon atoms labelled from 1' to 5' in the sugar, and the sugar contains a hydroxyl

group (composed of one hydrogen atom and one oxygen atom) connected to its 3' carbon. The nucleobase is connected to the 1' carbon, and the phosphate group is connected to the 5' carbon.

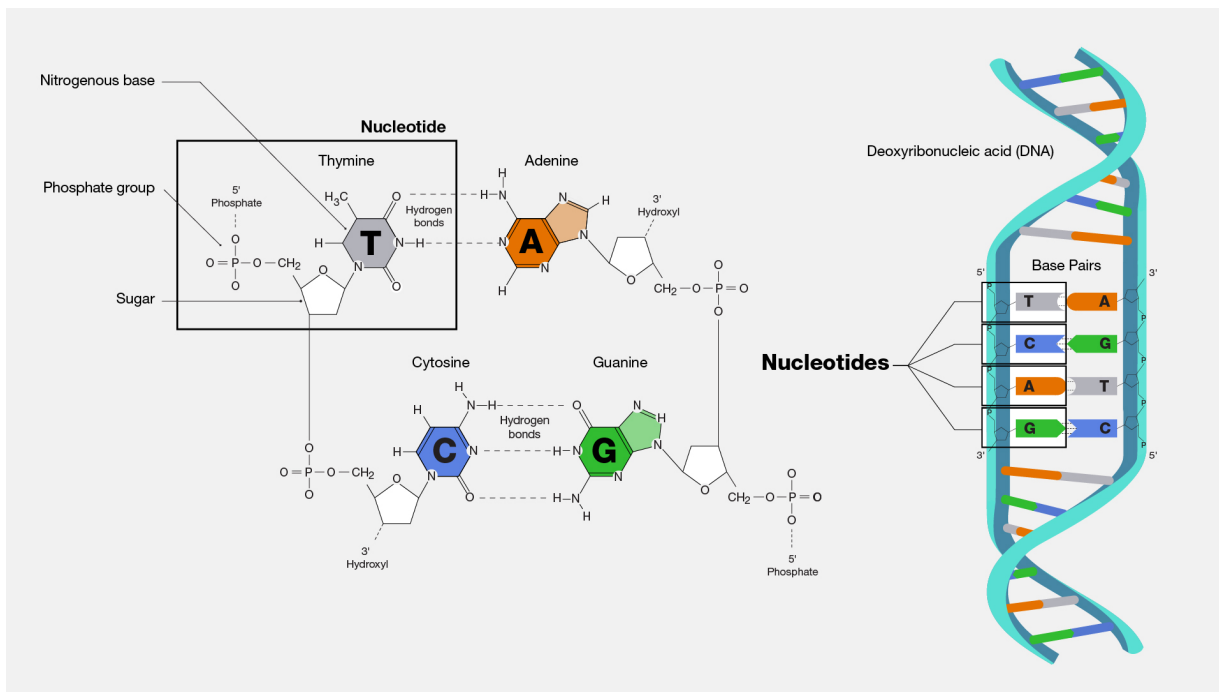


Figure 2.1: DNA double strand [29]. Left panel: The part surrounded by the rectangle is one example of a nucleotide. A nucleotide is composed of a nitrogenous base, a phosphate group, and a sugar. There are four kinds of nucleotides differentiated by their nucleobases (adenine [A, orange], cytosine [C, blue], guanine [G, green], and thymine [T, grey]). Note that the sizes of different nucleobases are different, and nucleobases A and C are larger than nucleobases G and T. The labelling of carbon atoms in a nucleotide is shown in Figure 2.2. Two nucleotides can be connected by a covalent bond (a solid line) between the sugar of one nucleotide and the phosphate group of the other. Two nucleotides with compatible nucleobases (T with A and C with G) can form hydrogen bonds (dashed lines) between their nucleobases, where two bonds are formed between T and A, and three bonds are formed between C and G. Right panel: A chain of nucleotides connected by covalent bonds is a DNA single strand. A DNA single strand is directional, and its direction is from its 5' end to its 3' end. A DNA double strand is composed of two such strands connected by the hydrogen bonds between nucleobases.



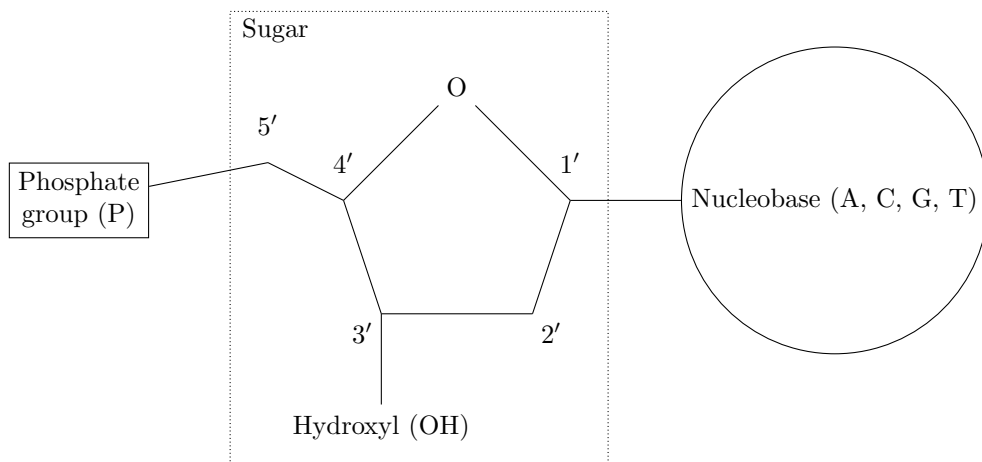


Figure 2.2: Labelling of carbon atoms in a nucleotide. A DNA nucleotide is composed of a nucleobase (adenine [A], cytosine [C], guanine [G], or thymine [T]), a sugar (containing a hydroxyl group), and a phosphate group. There are five carbon atoms in the sugar (represented by junctions of lines), and they are labelled from 1' to 5'. The nucleobase is connected to the 1' carbon, the hydroxyl group is connected to the 3' carbon, and the phosphate group is connected to the 5' carbon.

Two neighbour nucleotides in a DNA single strand are connected by a covalent bond between the hydroxyl group of the sugar of one nucleotide and the phosphate group of the other. The alternating sugars and phosphate groups connected by covalent bonds form what is called the *backbone* of a DNA single strand. A DNA single strand has an unconnected phosphate group on a nucleotide at one end, and this end is called the 5' end of this DNA single strand. The other end of the DNA single strand is called the 3' end of this DNA single strand.

In this thesis, two types of simplified graphics are used to represent DNA single strands, as shown in Figure 2.3.

The notational convention used in this thesis is that a word  $a_1a_2 \cdots a_n$  over the DNA alphabet  $\Delta = \{A, C, G, T\}$  represents the DNA single strand  $a_1a_2 \cdots a_n$  read in the 5' to 3' direction. For example, the DNA single strands in Figure 2.3 is represented by the word CGTACGTACG.

Two DNA single strands can form a DNA double strand by Watson-Crick complementarity, as detailed below. Nucleotides A can base pair with nucleotides T, and nucleotides C can base pair with nucleotides G. This is called the *Watson-Crick complementarity of bases*, and it connects two nucleotides by creating hydrogen bonds between their nucleobases (rep-

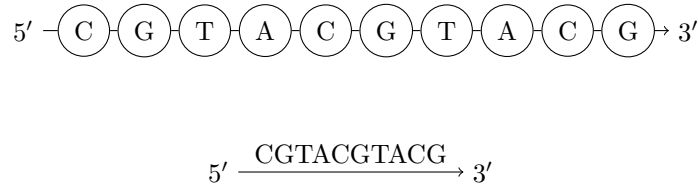


Figure 2.3: Simplified graphical representations of a single-stranded DNA molecule CGTACGTACG. Top panel: Each circle represents a nucleotide, and its type is denoted by the letter in the circle. The 5' end is the end labelled with 5' and no arrow, and the 3' end is the end labelled with 3' and an outgoing arrow. The solid lines between nodes represent the backbone. Bottom panel: A similar concept is adopted, but the sequence of nucleotides is represented by a word instead.

resented by dashed lines between nucleobases in Figure 2.1). Note that the nucleobases A and G are larger, and the nucleobases T and C are smaller. Each pair of complementary bases contains a larger base and a small base. Two hydrogen bonds are formed between A and T, and three hydrogen bonds are formed between C and G. Two DNA single strands of opposite orientations and with complementary nucleobases at each position binding together via hydrogen bonds form a DNA double strand in a process called *Watson-Crick base pairing*. Formally, two DNA single strands  $\alpha = a_1a_2 \cdots a_n$ ,  $\beta = b_1b_2 \cdots b_n$  of the same length  $n \in \mathbb{N}$  over the DNA alphabet  $\Delta$  are said to be Watson-Crick complementary to each other if  $\langle a_i, b_j \rangle \in \{\langle A, T \rangle, \langle T, A \rangle, \langle C, G \rangle, \langle G, C \rangle\}$ , where  $1 \leq i \leq n$  and  $j = n + 1 - i$ . For a DNA single strand  $\alpha \in \Delta^*$ , its Watson-Crick complement is denoted by  $\bar{\alpha}$ . For example, two DNA single strands CCTAGGTACG and CGTACCTAGG are Watson-Crick complementary to each other as shown in Figure 2.4.

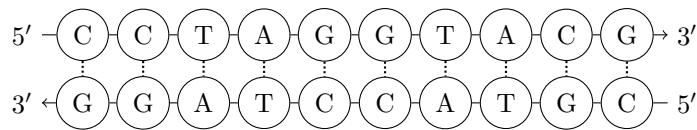


Figure 2.4: Two Watson-Crick complementary DNA single strands CCTAGGTACG and CGTACCTAGG (see conventional notations for representing a DNA strand as a word) bound to each other via Watson-Crick complementarity to form a DNA double strand with blunt ends. Hydrogen bonds between two complementary nucleobases are represented by dotted lines.

If two DNA single strands are of equal length and are Watson-Crick complementary to each other, they form a DNA double strand with *blunt ends* (see Figure 2.4). It is

also possible that two DNA strands are partially Watson-Crick complementary, in which case they can form *partially double-stranded* molecules, such as the one in Figure 2.5. In this case, the single-stranded portion of the partially double-stranded molecules is called an *overhang* or a *sticky end* since it has the potential to bind to yet another DNA single strand.

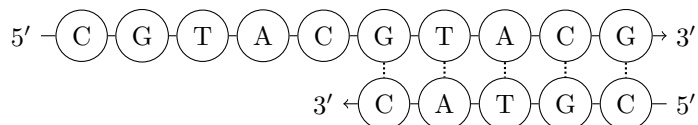


Figure 2.5: The DNA double strand with an overhang CGTAC consisting of two DNA single strands CGTACGTACG and CGTAC. This DNA double strand has one blunt end on the right and one sticky end on the left.

Similarly, if two subsequences of a DNA single strand are complementary, this strand may form intramolecular (intramolecular refers to the structures formed within a single DNA molecule, while intermolecular refers to the structures formed with two or more DNA molecules) structures, such as stem-loops, which are more commonly known as *hairpins* (Figure 2.6).

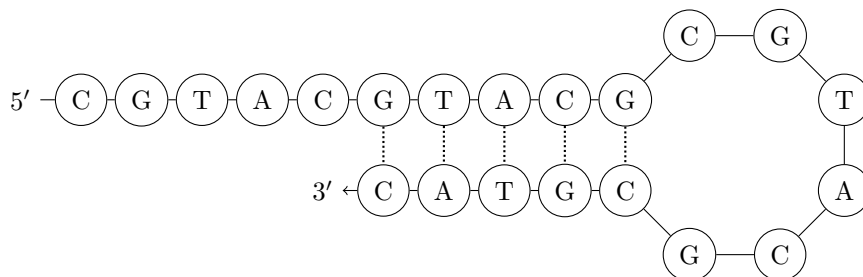


Figure 2.6: The DNA single strand CGTACGTACGCGTACGCGTAC forming a hairpin structure because of Watson-Crick complementarity, pairing G with C and A with T. The orientation of the DNA strand is denoted by its two ends labelled with 5' and 3' to indicate their different chemical characteristics.

In addition to the linear DNA single strands mentioned above, there are circular DNA single strands. Two circular DNA single strands with complementary sequences can form a circular DNA double strand called a *plasmid*. Plasmids can be found naturally in bacteria and some other microscopic organisms.

## 2.2 DNA computing

In the same way we use the letters of the English alphabet to write text, and electronic computers use bits 0 and 1 to store data, Nature uses the four nucleotides (A, C, G, and T) to write genetic information as DNA strands. The possibility of encoding the input of some computational problems as DNA strands and the proved ability of such biochemical processes as cutting and pasting of DNA strands to implement arithmetic and logic operations have led to the development of the field of DNA computing and molecular programming [3]. The three main steps of a DNA computing procedure, which are described in detail in the remainder of this section, are as follows:

1. Encoding the input information as DNA strands;
2. DNA computation; and
3. Reading the output of the DNA computation.

### 2.2.1 Step 1: Encoding information as DNA

To encode information using DNA, one first selects an encoding scheme, mapping symbols onto words over the DNA alphabet  $\Delta = \{A, C, G, T\}$ . For example, in [53], the letters of the Latin alphabet were encoded using the following triplets:

$$a = CGA, b = CCA, c = GTT, d = TTG, e = GGT, \\ n = TCT, o = GGC, r = TCA, t = TTC, \dots$$

With this encoding, the English text “to be or not to be” becomes the DNA single strand shown in Figure 2.7.



Figure 2.7: The DNA single strand encoding the English text “to be or not to be” using the encoding scheme described in text.

Then, DNA single strands that encode information can be synthesized. DNA synthesis is one of the most basic bio-operations used in DNA computing. DNA solid-state synthesis is based on a method by which the initial nucleotide is bound to a solid support, and

successive nucleotides are added step-by-step, from the 3' end to the 5' end, in a reactant solution. While the above encoding example is purely hypothetical, DNA strands of lengths of up to 1,000 base pairs (bp) can be readily synthesized, using fully automated DNA synthesizers, in under 24 hours [163]. The synthesis of DNA strands longer than 10 kilo base pairs (kbp) is more challenging and time consuming. There are two major approaches to synthesizing such strands—namely, chemical synthesis and enzymatic synthesis; these approaches both involve multiple rounds of synthesis of short DNA fragments, followed by their assembly into longer DNA strands. A commonly used tool like BioBrick assembly [105] could take 30 to 45 days to synthesize DNA strands longer than 10 kbp.

It should be noted that, in most DNA computing experiments, DNA-encoded information is not associated with a memory location but consists of infinitesimal free-floating DNA strands in a solution. Because of Watson-Crick complementarity, these free-floating DNA strands can interact with each other in ways that are programmed but also in ways that are undesired. For example, information-encoding DNA single strands can contain Watson-Crick complementary substrands within themselves causing them to form hair-pins and rendering them unavailable for Watson-Crick complementarity interactions with other information-encoding strands. Several DNA computing studies explore choices for encoding information as DNA strands that ensure that undesirable base pairing does not occur [97, 133, 144, 181, 185, 212, 225, 266]. Exceptions are surface-based DNA computing experiments, such as those reported in [40, 169], wherein data-encoding DNA strands are fixed to a solid surface.

## 2.2.2 Step 2: DNA computation

A DNA computation consists of a succession of bio-operations. In this section, we list some of the main bio-operations used in DNA computing experiments.

Watson-Crick base pairing, also called *hybridization* or *annealing*, occurs because of the Watson-Crick complementarity of bases (A with T and C with G), and it is the principal bio-operation underlying most—if not all—DNA computations. Watson-Crick base pairing connects two nucleotides by creating hydrogen bonds between their nucleobases (three hydrogen bonds between G and C and two hydrogen bonds between A and T). Since a hydrogen bond is weaker than the covalent bond in the backbone of DNA molecules, it will break when subjected to a high temperature. The process using heat to break DNA double strands into their constituent DNA single strands is called *melting* or *denaturation*. Watson-Crick base pairing was utilized in the first proof-of-concept DNA computing experiment, which solved a seven-node instance of the directed Hamiltonian path problem [3].

It was also used in the DNA computing experiment that solved a 20-variable instance of the 3-satisfiability problem, which marked the first instance of a DNA computation solving a problem beyond the normal range of unaided human computation [25]. Finally, Watson-Crick base pairing was the crucial computational primitive used in the algorithmic self-assembly of DNA tiles utilized, such as for the implementation of logic gates [180], stochastic computing [2], and cellular automata [238], and it was used in molecular algorithms using reprogrammable DNA self-assembly [275].

*Cutting*, also called *restriction enzyme digestion*, is a bio-operation implemented by restriction endonuclease enzymes. A restriction enzyme cuts double-stranded DNA into fragments at or near an enzyme-specific pattern known as the *restriction site*, and the location of cutting is called the *restriction point*. Restriction enzyme digestion is inexpensive from the point of view of energy consumption because no external energy is needed [272]. The result of cutting a DNA double strand at a restriction site (by cutting the backbones of each of its two component single strands) is either two DNA double strands with new complementary sticky ends or two DNA double strands with new blunt ends. For example, the restriction site of the restriction enzyme *EcoRI* is shown in Figure 2.8, and the restriction site of the restriction enzyme *SmaI* is shown in Figure 2.9. Note that the vertical arrows indicate the restriction point. A cut by the restriction enzyme *EcoRI* creates two new sticky ends AATT, whereas a cut by the restriction enzyme *SmaI* creates two blunt ends.

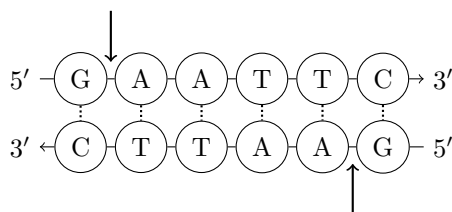


Figure 2.8: The restriction site of the restriction enzyme *EcoRI* is GAATTC. The restriction point is between the first and second nucleotides from the 5' end of each of the DNA single strands. The result of the restriction enzyme digestion is two new partially double-stranded DNA strands, each with a sticky end AATT.

Cutting was used to generate DNA molecules encoding a potential solution for the subset sum problem [102], the maximal independent set problem [97], and the minimal dominating set problem [103]. Some enzymes cut non-specifically, outside their restriction site, and they have also been employed for computations, such as in the wet lab implementation of a programmable finite automaton using the *FoKI* enzyme [16, 18].

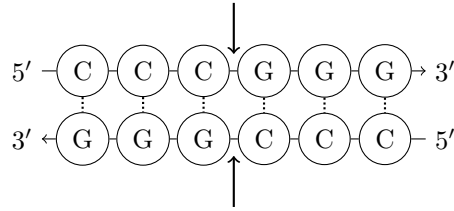


Figure 2.9: The restriction site of the restriction enzyme *SamI* is CCCGGG. The restriction point is between the third and fourth nucleotides from the 5' end of each of the DNA single strands. The result of the restriction enzyme digestion is two new DNA double strands with blunt ends.

*Pasting*, also called *ligation*, is a bio-operation that accomplishes the opposite of cutting, and this is implemented by DNA ligase enzymes that can join together DNA strand backbones. Some DNA ligases join together DNA double strands with complementary sticky ends, whereas others join together blunt-ended DNA double strands. For example, in Figure 2.10, ligation can join a partially double-stranded DNA strand with a sticky end GCTA and a partially double-stranded DNA strand with a sticky end TAGC.

Compared with cutting, ligation is energy intensive because ligases consume *adenosine triphosphate (ATP)* (ATP is an organic compound and an energy-storing molecule; it is considered the “universal battery” because it provides the energy required by many processes in living cells, such as muscle contraction, nerve impulse propagation, and chemical synthesis). One ATP molecule is consumed while connecting each pair of nucleotides on the same strand by a new covalent bond, so the process shown in Figure 2.10 requires two ATP molecules. Ligation was used in [3] to generate potential solutions for an instance of the directed Hamiltonian path problem. It was also used with restriction enzyme digestion to remove part of a DNA double strand for the *maximal independent set problem* [97].

*Polymerase chain reaction (PCR)* is often used in DNA computing experiments to amplify (produce an exponential increase of) DNA double strands called *templates*. PCR is affected by the DNA polymerase enzyme, which extends a *primer* (short DNA sequence that base pairs to the 3' end of one of the single strands of the template) nucleotide by nucleotide until it produces a full Watson-Crick complement of the template. As shown in Figure 2.11, the inputs of PCR include a template (DNA double strand in the middle of the first row of Figure 2.11), two primers (DNA single strands  $\alpha$  and  $\bar{\gamma}$  at the left and right, respectively, of the first row of Figure 2.11), nucleotides (not shown), and DNA polymerase (not shown). The primer  $\bar{\gamma}$  can hybridize with one strand of the template  $\alpha\beta\gamma$  at the 3' end, and the primer  $\alpha$  can hybridize with the other strand of the template  $\bar{\gamma}\bar{\beta}\bar{\alpha}$  at the 3' end. PCR involves multiple cycles, and each cycle includes denaturation, annealing, and

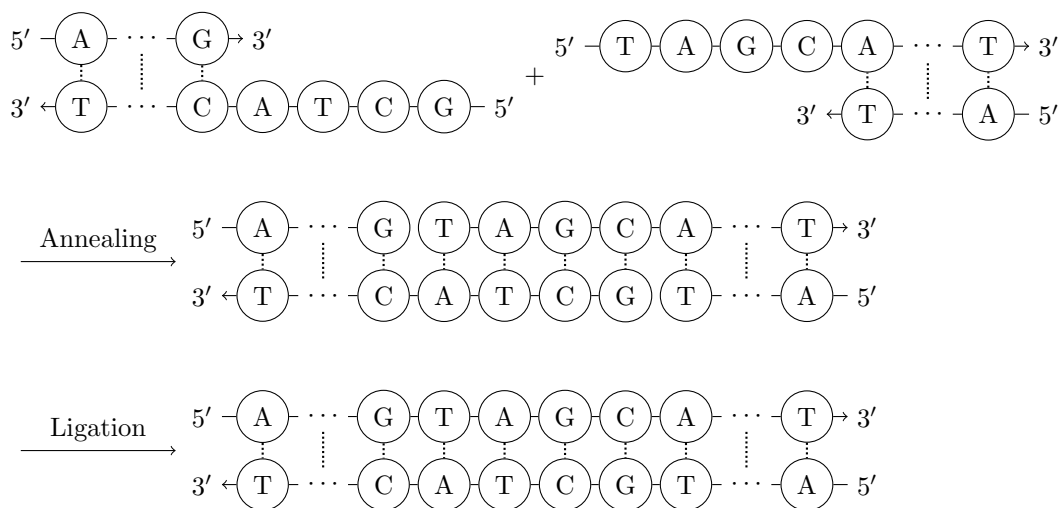


Figure 2.10: Two partially double-stranded DNA strands with complementary sticky ends can be joined to form one DNA double strand by ligation. The input to ligation consists of two partially double-stranded DNA strands with sticky ends GCTA (top left) and TAGC (top right). In the process of ligation, the sticky ends hybridize with each other due to Watson-Crick complementarity (middle), and the enzyme ligase connects the broken backbones to form a DNA double strand (bottom).

extension. During denaturation, the DNA double strands break into their constituent DNA single strands. This is followed by annealing, caused by the decrease of the temperature of the mixture, during which the primers hybridize with the DNA single strands from the template. The last step of this cycle is extension, during which DNA polymerase extends the primers in the 3' to the 5' direction using the free-floating nucleotides present in the solution until it produces a full complement of each single strand comprising the template. After one cycle of PCR, one copy of the template becomes two copies of the template, and  $2^n$  copies of the template can be generated after  $n$  cycles. Whiplash PCR (a variation of PCR where the template and the primers are on the same DNA single strand) has been specifically used in the implementation of a finite state machine by hairpin formation [242]. When used in non-standard ways, PCR can produce a combinatorial richness of molecules, but it may also behave in ways which are complex and difficult to control [111, 134, 175].

*Cloning* is another method of amplifying so-called “target genes” (DNA double strands). Here, a target gene is inserted into a plasmid to create a recombinant DNA molecule, consisting of the initial plasmid and the inserted target gene, as shown in Figure 2.12. A restriction enzyme is chosen to cut the plasmid and the target gene with the property



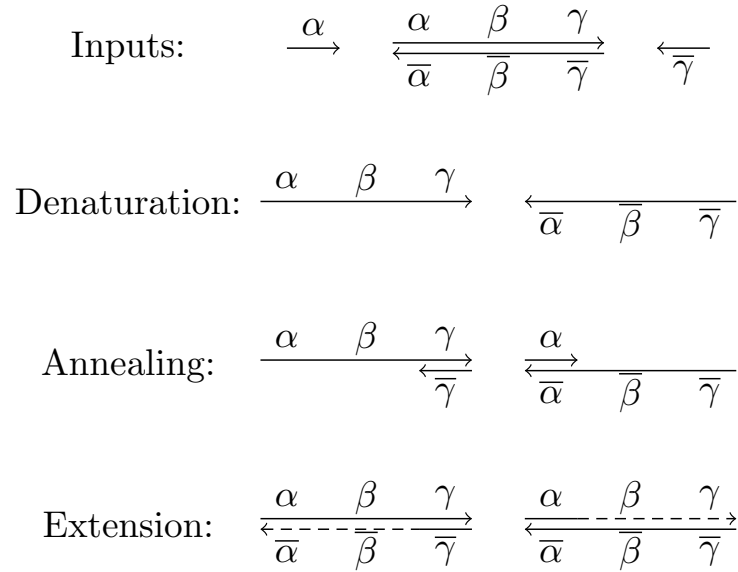


Figure 2.11: One cycle of polymerase chain reaction (PCR) generates two copies of the template. The inputs include a template (DNA double strand in the first row), two primers (DNA single strands  $\alpha$  and  $\overline{\gamma}$  in the first row), nucleotides (not shown), and DNA polymerase (not shown). One cycle of PCR has three steps: denaturation, annealing, and extension. During the denaturation step, the template breaks into single strands  $\alpha\beta\gamma$  and  $\overline{\gamma}\overline{\beta}\overline{\alpha}$  because of an increase in temperature. During the annealing step, the single strands from the template hybridize with primers ( $\alpha\beta\gamma$  with  $\overline{\gamma}$  and  $\overline{\gamma}\overline{\beta}\overline{\alpha}$  with  $\alpha$ ) because of the decrease in temperature. Finally, during the extension step, the primers are extended by DNA polymerase using the free-floating nucleotides present in the solution according to the template strands.

that its recognition site has one occurrence on the plasmid and occurs once on each end of the target gene. After restriction enzyme digestion, the plasmid and the target gene have complementary sticky ends, and they can hybridize to form a recombinant DNA molecule. This process is used in the traditional cloning procedure, and difficulties arise if suitable natural restriction sites are unavailable on the target gene. There are other methods to create a recombinant DNA molecule that avoid this problem [22, 265, 282]. This recombinant is then introduced to a bacterium, such as *Escherichia coli* (*E. coli*). Since bacteria multiply exponentially, this process will lead to an exponential increase in the target gene contained in their recombinant plasmids. This bio-operation was used in a DNA computing algorithm to solve a six-bit instance of the *maximal clique problem* [97].

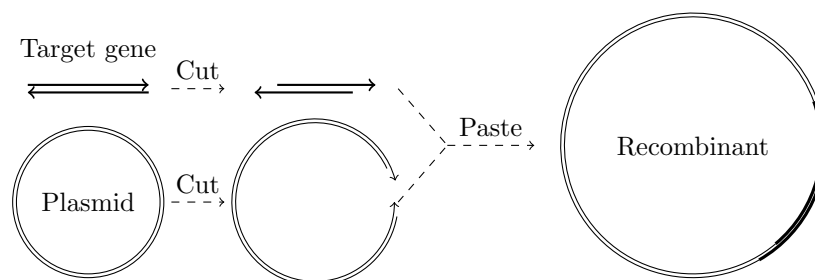


Figure 2.12: The process to create a recombinant circular DNA molecule from a DNA double strand containing the target gene and a plasmid. The target gene is cut by a restriction enzyme whose restriction site occurs once on each end of the target gene. The same restriction site occurs once on the plasmid, and the plasmid is cut by the same restriction enzyme. After these cuts, the resulting strands from the target genes and the plasmid have complementary sticky ends. Therefore, ligation can be used to create a recombinant plasmid consisting of the initial plasmid and the inserted target gene.

*Gel electrophoresis* is used to separate DNA strands by length. DNA molecules are negatively charged because they have a backbone of negatively charged phosphate groups. Therefore, if DNA molecules are put in a gel with an electric current applied, they will migrate toward the positively charged end. Short DNA molecules move through a gel faster because they are able to better navigate the small space available, so smaller DNA molecules move more quickly toward the positively charged end than larger DNA molecules do. It was shown in [101] that the speed of migration of a DNA molecule in a gel is inversely proportional to the log of the length of the DNA molecule. The procedure of gel electrophoresis is shown in Figure 2.13. At one end of the gel, there are wells where the DNA samples will be loaded. The negative electrode is placed at the end of the gel with wells, and the positive electrode is placed at the other end of the gel. After migrating through the gel, the DNA molecules are separated by size. A group of DNA molecules of the same length is visible as a band on the gel if its total weight is at least one nanogram [90, 129]. A band is darker if there are more DNA molecules of that length. There are high-resolution types of electrophoresis (e.g., non-denaturing polyacrylamide gel electrophoresis [PAGE] or 2% agarose gel electrophoresis) that can differentiate DNA molecules with as small as a one base pair difference in length. This bio-operation was used for selecting the DNA strands encoding the solution to the directed Hamiltonian path problem in [3] and for selecting the solution to the subset sum problem in [102].

*Extraction* is used to select DNA strands that contain a certain pattern  $\alpha$  as a substrand

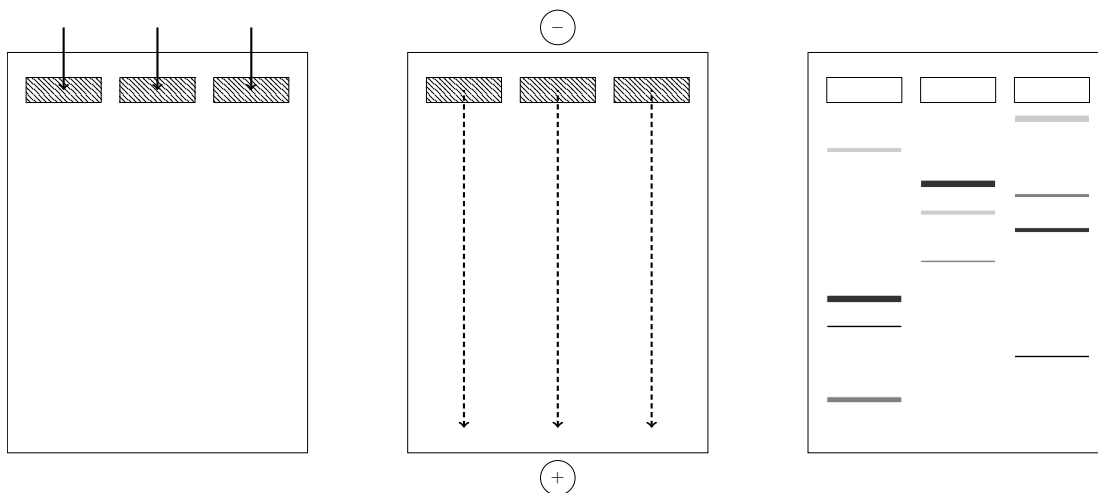


Figure 2.13: Gel electrophoresis procedure [167]. Left panel: DNA samples are loaded into the wells (small rectangles with shades on the top) at one end of the gel (big rectangle). Middle panel: An electric current is applied to the gel, with the negative electrode placed at the end of the gel with the wells and the positive electrode placed at the other end of the gel. Right panel: The DNA molecules migrate toward the positively charged end and are separated by size. The shortest DNA molecules migrate the farthest from the wells, while the longest remain closest to the wells. DNA molecules are visible as bands, and a band is darker if there are more DNA molecules of that length.

using hybridization between DNA molecules. A DNA single strand  $\bar{\alpha}$  is created and chemically immobilized to a solid surface. Therefore, when a mixture of DNA strands is passed over the surface, those DNA molecules with the Watson-Crick complementary substrand  $\alpha$  are connected to the surface by hybridization with the immobilized strands. After other DNA strands are washed away, the remaining DNA molecules contain the pattern  $\alpha$ . This bio-operation was used, for example, in [3] to select the paths that pass through a given node.

*DNA strand displacement* is a more recent bio-operation, and it can be polymerase-based or toehold-mediated. The input of both types of DNA strand displacement consists of a partially double-stranded DNA molecule called the input strand and a DNA single strand called the fuel strand. The input strand contains a single-stranded substrand that is Watson-Crick complementary to part of the fuel strand, so they can hybridize to form a DNA complex. For toehold-mediated DNA strand displacement, a single strand of the input strand is replaced by the fuel strand because the new DNA duplex is thermodynamically more stable.

ically favoured. An example is shown in Figure 2.14, where the input strand is a partially double-stranded DNA molecule, and it has an overhang that is complementary to one end of the fuel strand. However, as shown in Figure 2.15, for polymerase-based DNA strand displacement, a single strand of the input strand is replaced by a new strand created by DNA polymerase with the fuel strand as the primer and the other strand of the input strand as the template.

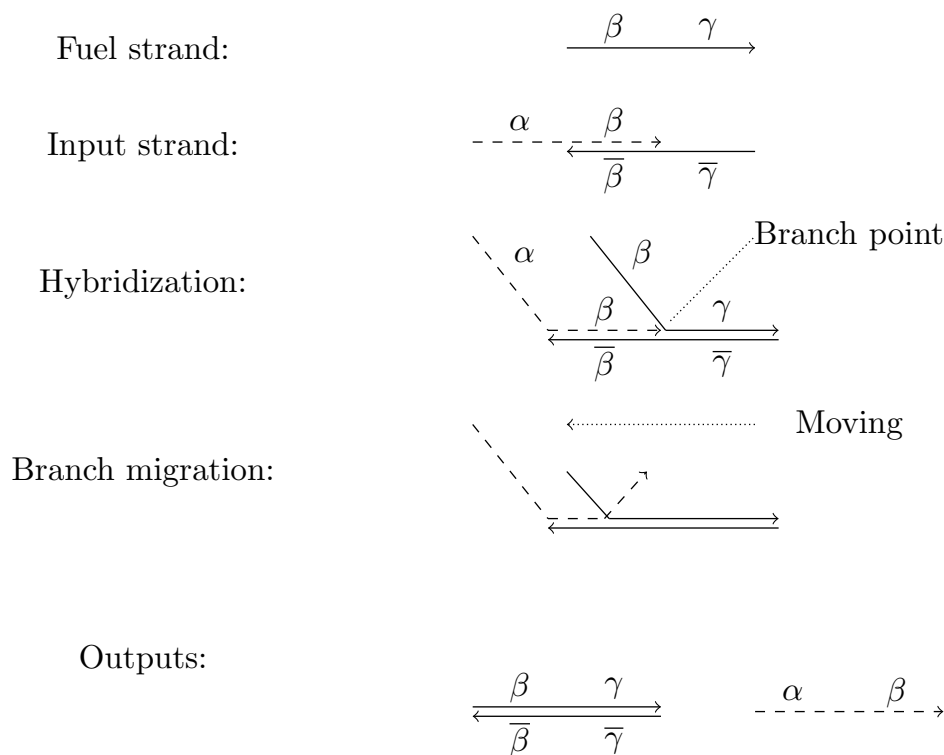


Figure 2.14: Toehold-mediated DNA strand displacement. The input consists of a partially double-stranded DNA molecule (input strand) and a DNA single strand (fuel strand). The input strand has strands  $\alpha\beta$  and  $\overline{\beta\gamma}$  and overhangs  $\alpha$  and  $\overline{\gamma}$ , and the fuel strand is  $\beta\gamma$ . They can hybridize to form a DNA complex involving three single strands, where the “bottom strand” of the input strand ( $\overline{\beta\gamma}$ ) hybridizes with the “top strand” of the input strand  $\alpha\beta$  as well as the fuel strand ( $\beta\gamma$ ). The branch point is the point where the invading fuel strand meets the “top strand” of the input strand. The invading fuel strand displaces the “top strand” of the input strand, and this moves the branch point in a process called branch migration. Finally, the “top strand” of the input strand is displaced, and a new recombinant DNA double strand is produced.

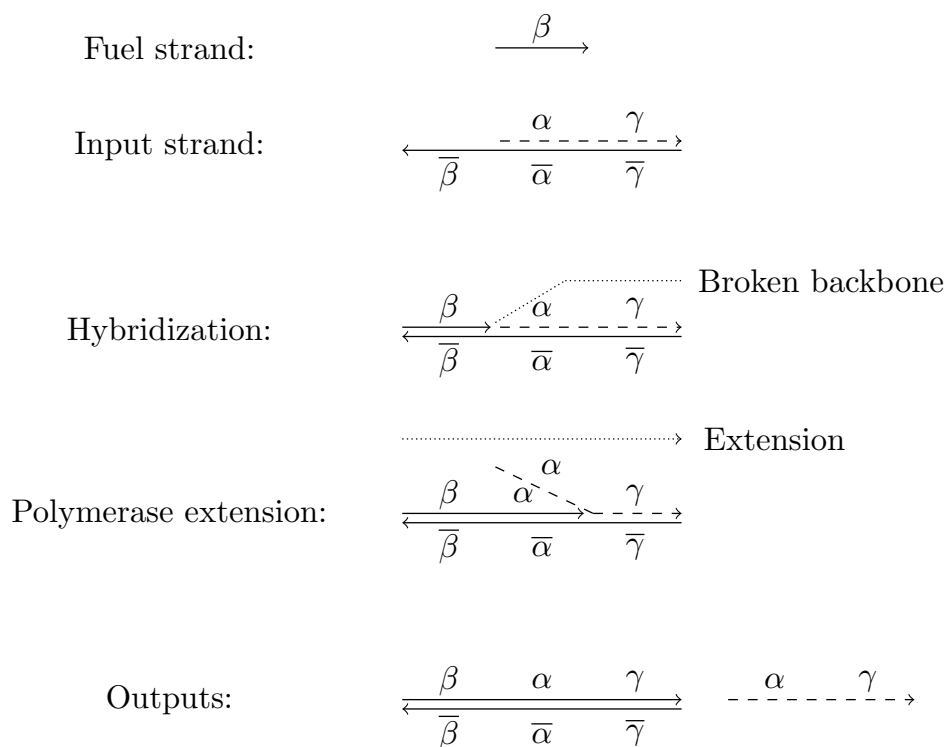


Figure 2.15: Polymerase-based DNA strand displacement. The input consists of a partially double-stranded DNA molecule (input strand) and a DNA single strand (fuel strand). The input strand has strands  $\alpha\gamma$  and  $\bar{\beta}\bar{\alpha}\bar{\gamma}$  and a sticky end  $\bar{\beta}$ , and the fuel strand is  $\beta$ . They can hybridize to form a DNA complex involving three single strands, where the “bottom strand” of the input strand ( $\bar{\beta}\bar{\alpha}\bar{\gamma}$ ) hybridizes with the “top strand” of the input strand ( $\alpha\gamma$ ) and the fuel strand ( $\beta$ ). Next, polymerase extends the invading fuel strand toward the 3' end using the bottom strand as the template. After the polymerase extension, the substrand  $\alpha\gamma$  is displaced, and a DNA double strand  $\beta\alpha\gamma$  is produced.

DNA strand displacement was used to implement DNA-based artificial neural networks that can recognize 100-bit hand-written digits [42,227] and to implement artificial biochemical circuits [283]. It has also been used for computing the square root of a number [226,255], for building full adders and logic gates [258], and for implementing chemical reaction networks [250]. In addition, DNA strand displacement is used in so-called *localized DNA computing*, whereby logic circuits are implemented by spatially arranging reactive DNA hairpins on a DNA origami surface [40], potentially reducing the computation time by orders of magnitude. Among these examples, toehold-mediated DNA strand displacement

was used in [40, 42, 226, 227, 283], and polymerase-based DNA strand displacement was used in [250, 255, 258].

### 2.2.3 Step 3: Reading the output of the DNA computation

At the end of a DNA computation, the DNA strands representing the output of the computation can be read out and decoded.

In the case of computational problems with yes/no answers, solving the problems could amount to the verification if a solution exists instead of asking for a solution. In this case, solving them could amount to the verification of the presence or absence of a certain solution-encoding DNA strand in the test tube that contains the output of the DNA computation. In such problems, gel electrophoresis can be used to detect DNA molecules of a specific length, and extraction can be used to detect DNA strands that contain a certain pattern as a substrand. If a solution is required, sequencing can be used to read out the information stored in the output DNA strands.

One sequencing method uses special chemically modified nucleotides (dideoxynucleoside triphosphates [ddNTPs]); these act as “chain terminators” during PCR as follows: A sequencing primer is annealed to the DNA template to be read. A DNA polymerase then extends the primer. The extension reaction is split into four tubes, each containing a different chain terminator nucleotide mixed with standard nucleotides. For example, a tube would contain chemically modified nucleotides C (ddCTP), as well as the standard nucleotides (dATP, dGTP, dCTP, and dTTP). In this tube, extension of the primer by the polymerase enzyme produces all prefixes ending in G (complement of C) of the complement of the original strand. A separation of these strands by length, using gel electrophoresis, allows the determination of the position of all Gs (complements of Cs). Combining the results obtained in this way for all four nucleotides allows the reconstruction of the original sequence.

Thousands of genomes have been sequenced since the completion of the Human Genome Project (HGP) [271] using a technique called *shotgun sequencing*. Here, short genome fragments called “reads” are sequenced; computer programs then use the overlapping ends of different reads to assemble them into a continuous sequence. Such conventional methods for reading the output of a DNA computation, including Illumina-based sequencing methods, are straightforward, rapid, and accurate (one percent maximum error), and DNA sequences of the size of the human genome (over three billion base pairs) can now be sequenced in one to three days [233]. In contrast with these sequential sequencing approaches, nanopore-based sequencing techniques parallelize the sequencing process, and

despite being more error-prone (10% maximum error), they are now preferred for their speed, sequencer size, and convenience of use. Such single-molecule sequencers can process as many as 16,000 reads simultaneously using a parallel operating array of nanopores. Using nanopore sequencing methods, DNA strands of a total length of up to 90 million base pairs (with contiguous DNA strands as long as 60,000 bp being read) can be sequenced in 18 hours [37, 233].

## 2.3 Some NP-complete problems solved using DNA computing

A *decision problem* is a problem that can be phrased as a yes/no problem. A decision problem is said to be *polynomial-time solvable* if there exists a deterministic single-tape Turing machine that can solve the problem using polynomial time [254], and the complexity class P consists of all such problems. For example, the problem to decide whether a number is a prime number is in P [5]. A decision problem is said to be in *nondeterministic polynomial time* if a solution can be verified by a deterministic Turing machine in polynomial time [54], and the complexity class NP consists of all such problems. Equivalently, a decision problem is said to be in NP if it can be solved by some nondeterministic Turing machine in polynomial time [254]. In addition, a decision problem is said to be *NP-hard* if all NP problems are reducible to this problem in polynomial time. Informally, NP-hard problems are at least as hard as every NP problem. A decision problem is said to be in the class NP-complete if it is NP and NP-hard [234]. Each NP-complete problem has a solution space that grows exponentially with its size. The question of whether or not polynomial-time algorithms exist for NP-complete problems is one of the foremost open problems in computer science. If a polynomial time algorithm were found for a single NP-complete problem, all NP problems would be solvable in polynomial time. (It is widely thought that this is not the case.) Some NP-complete problems and reductions between these problems were listed in [155]. Thus, every NP-complete problem is significant; some of the most well-known NP-complete problems are defined below.

Many NP-complete problems are about graphs.

A *Hamiltonian path* is a path in a graph that visits each node exactly once. The path is said to be directed if the graph is directed, which means that the edges between nodes are directional; otherwise, it is said to be undirected. Given a (directed) graph, a start node, and an end node, the (directed) Hamiltonian path problem (HPP) asks if there exists a (directed) Hamiltonian path in the graph from the start node to the end node.

An *independent set of a graph* is a set of nodes such that there exist no edges between every pair of nodes in the set. A maximal independent set of a graph is an independent set such that, for each node outside the set, there exists an edge between this node and a node in the set. Given a graph, the maximal independent set problem (MIS) asks how many nodes are in a maximal independent set of the graph. This problem has a related NP-complete decision problem: Given a graph and a positive integer  $t$ , does there exist an independent set  $S$  of the graph such that  $|S| = t$ ?

A *dominating set of a graph* is a set of nodes such that, for each node in the graph, either the node is in the set, or there exists an edge between the node and a node in the set. A dominating set of a graph is said to be minimal if it has the smallest cardinality among all dominating sets of that graph. Given a graph, the *minimal dominating set problem (MDS)* asks how many nodes are in a minimal dominating set of the graph. This problem has a related NP-complete decision problem: Given a graph and a positive integer  $t$ , does there exist a dominating set  $S$  of the graph such that  $|S| = t$ ?

A *clique of an undirected graph* is a set of nodes such that there exists an edge between each pair of nodes in this set. A clique of a graph is said to be maximal if it has the largest cardinality among all cliques in that graph. Given a graph, the maximal clique problem asks how many nodes are in a maximal clique of the graph. This problem has a related NP-complete decision problem: Given a graph and a positive integer  $t$ , does there exist a clique  $S$  of the graph such that  $|S| = t$ ?

Some NP-complete problems are about mathematical programming and logic.

Consider a set of items  $S = \{s_i \mid 1 \leq i \leq n\}$ , where  $n \in \mathbb{N}$ , and each item  $s_i$  is associated with a weight  $w_i$  and a value  $v_i$  for  $1 \leq i \leq n$ , and a positive integer  $t \in \mathbb{N}$  called the target. The *knapsack problem* asks for the numbers  $n_i, 1 \leq i \leq n$ , such that the total value  $\sum_{1 \leq i \leq n} v_i \times n_i$  is maximized while the total weight is not over the target, that is  $\sum_{1 \leq i \leq n} w_i \times n_i \leq t$ . This problem has a related NP-complete decision problem: Given a set of items with weights and values and two positive integers  $t$  and  $k$ , does there exist a solution where the total value is  $k$  without exceeding the weight limit  $t$ ? If the numbers have the property that  $n_i \in \{0, 1\}$  ( $n_i \leq c \in \mathbb{N}$  and  $n_i \in \mathbb{N}$ , respectively), for  $1 \leq i \leq n$ , the problem is called the 0-1 (*bounded and unbounded, respectively*) *knapsack problem*.

The subset sum problem (SSP) can be viewed as a special case of the knapsack problem. Given a finite set  $S \subset \mathbb{N}$  of positive integers and a positive integer target number  $t \in \mathbb{N}$ , the subset sum problem asks if there exists a subset  $S' \subseteq S$  such that  $t = \sum_{s \in S'} s$ .

A propositional variable is a variable that can be either true or false, which are complementary to each other. The binary connective “or” is denoted by  $\vee$ , and its result is true if and only if at least one of its operands is true. The binary connective “and” is



denoted by  $\wedge$ , and its result is true if and only if both its operands are true. The unary connective “not” is denoted by  $\neg$ , and its result is true if and only if its operand is false. A propositional formula can be a propositional variable,  $\neg B$ ,  $D \wedge B$ , or  $D \vee B$ , where  $B$  and  $D$  are propositional formulas. Propositional variables and their complements (“not” of the propositional variables) are called *literals*. A *disjunctive clause* is a single literal or a list of literals connected by  $\vee$ . A propositional formula is in *conjunctive normal form (CNF)* if it is a single disjunctive clause or a list of disjunctive clauses connected by  $\wedge$ . A truth valuation assigns true or false to all propositional variables, and a formula can be evaluated to true or false using a truth valuation according to the definitions of logic connectives. A propositional formula is said to be *satisfiable* if there exists a truth valuation that determines this formula to be true. Given a propositional formula in CNF, the satisfiability problem (SAT) asks if this formula is satisfiable. If all of its disjunctive clauses have at most three literals, the problem is called the 3-satisfiability problem (3-SAT).

The three steps of a DNA computing procedure, described in Section 2.2 (encoding the input information as DNA strands, performing the DNA computation, and reading out the output of the DNA computation), have been used to solve instances of such NP-complete problems and their related optimization problems as the directed HPP [3], the MIS problem [97], the MDS problem [103], the knapsack problem and its variant, SSP, [7, 102, 257], the 3-SAT problem [25, 26, 130, 169, 203], and the maximal clique problem [207]. These are summarized in Table 2.1.

Since the area of DNA computing started when Adleman used DNA to solve a seven-node instance of the directed Hamiltonian path problem [3], we use this procedure as an example of DNA computing. The input directed graph is as shown in Figure 2.16, the start node is 0, and the end node is 6. The problem has a unique solution, namely the directed Hamiltonian path  $0 \rightarrow 1 \rightarrow 2 \rightarrow 3 \rightarrow 4 \rightarrow 5 \rightarrow 6$ .

In the first step of this DNA computing approach, this graph was encoded as DNA single strands as follows. For each node  $i$  in the graph, where  $0 \leq i \leq 6$ , it was encoded by a DNA single strand  $O_i$  of length 20. For each directed edge from node  $i$  to node  $j$  in the graph,  $1 \leq i \leq 6$  and  $0 \leq j \leq 5$ , it was encoded by a DNA single strand  $O_{i \rightarrow j}$  of length 20 that was the concatenation of the second half of  $O_i$  and the first half of  $O_j$ . For each directed outgoing edge from the start node 0 to node  $j$  in the graph,  $0 \leq j \leq 5$ , it was encoded by a DNA single strand  $O_{0 \rightarrow j}$  of length 30 that was the concatenation of  $O_0$  and the first half of  $O_j$ . Similarly, for each directed incoming edge to the end node 6 from node  $i$  in the graph,  $1 \leq i \leq 6$ , it was encoded by a DNA single strand  $O_{i \rightarrow 6}$  of length 30 that was the concatenation of the second half of  $O_i$  and  $O_6$ . Lastly, if there was a directed edge from the start node 0 to the end node 6, it would be encoded by a DNA single strand  $O_{0 \rightarrow 6}$  of length 40 that was the concatenation of  $O_0$  and  $O_6$ .

Problem	Cardinality	Bio-operations	Reference
Directed HPP	7 nodes	Annealing, PCR, extraction, gel electrophoresis	[3]
MIS	6 nodes	Cutting, pasting, cloning, gel electrophoresis, sequencing	[97]
MDS	6 nodes	Cutting, pasting, cloning, PCR, gel electrophoresis	[103]
Knapsack/SSP	7 items	Cutting, pasting, cloning, gel electrophoresis, sequencing	[102]
	3 items	Pasting, PCR, gel electrophoresis, annealing, sequencing	[7]
	3 items	Cutting, pasting, gel electrophoresis, annealing	[257]
SAT	6 variables	PCR, sequencing, extraction, gel electrophoresis, annealing, pasting	[26]
	20 variables		[25]
	10 variables		[130]
	4 variables	Extraction, cutting, PCR, annealing	[169]
	6 variables	Annealing (hairpins), cutting, pasting, PCR, sequencing, gel electrophoresis	[242]
	4 variables	Annealing (competitive), extraction	[260]
	4 variables	Cutting, pasting (ligase chain reaction), cloning, gel electrophoresis, extraction, sequencing	[273]
Maximal clique	6 nodes	Annealing, PCR (overlap extension), gel electrophoresis, cloning, sequencing, cutting	[207]

Table 2.1: List of some DNA computing algorithms (procedures) solving NP-complete problems and their related optimization problems and the bio-operations used. This list includes the directed Hamiltonian path problem (HPP), the maximal independent set problem (MIS), the minimal dominating set problem (MDS), the knapsack problem, the subset sum problem (SSP), variations of the satisfiability problem (SAT), and the maximal clique problem. Depending on the problem, the cardinality of an instance of a problem is the number of nodes in the input graph, the cardinality of the input set, or the number of propositional variables.

With this encoding, if DNA single strands  $\overline{O}_i$ , where  $1 \leq i \leq 5$ , are mixed with DNA single strands for edges, then partially double-stranded DNA molecules representing paths through the graph can be generated after hybridization and ligation. For each partially double-stranded DNA molecule representing a path, one of its strands represents a list of edges that this path passes through. Because of the encoding of the nodes and edges, this strands also represents a (partial) list of nodes that this path visits. The similar information is also stored in the other strand, where the orders of nodes and edges are reversed, and the Watson-Crick complement of the encodings are used. For example, as shown in Figure 2.17, a partially double-stranded DNA molecule that represents the path  $2 \rightarrow 3 \rightarrow 4$  can be generated from the DNA single strand  $(\overline{O}_3)$  complementary to the encoding of node 3 and the DNA single strands encoding the two directed edges from node

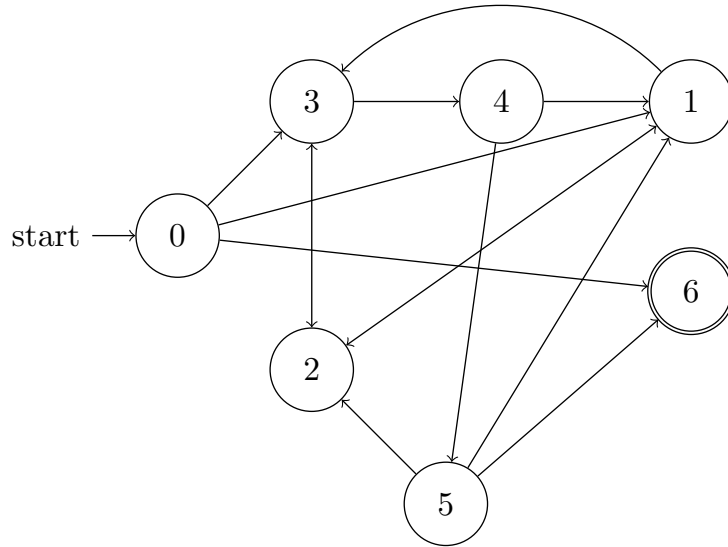


Figure 2.16: Input graph of the seven-node instance of the directed Hamiltonian path problem solved by Adleman [3]. The start node is 0 (with an incoming node from start), and the end node is 6 (double circle). The problem has a unique solution, namely the directed Hamiltonian path  $0 \rightarrow 1 \rightarrow 2 \rightarrow 3 \rightarrow 4 \rightarrow 5 \rightarrow 6$ .

2 to node 3 ( $O_{2 \rightarrow 3}$ ) and from node 3 to node 4 ( $O_{3 \rightarrow 4}$ ). Its top strand represents a path passing through the edge from node 2 to node 3, followed by the edge from node 3 to node 4.

Next is the actual DNA computation, and the algorithm is as follows:

1. Generate random paths through the graph. This is achieved by annealing DNA single strands  $\overline{O}_i$ ,  $1 \leq i \leq 5$ , with DNA single strands encoding each of the directed edges. The backbones of these DNA double strands are connected by ligation. In [3], approximately  $3 \times 10^{13}$  copies of each input DNA single strand are used. Since infinitesimal free-floating DNA strands are in great quantity, they can interact with each other randomly through hybridization. Therefore, all possible paths through the graph are generated with high probability (theoretically, even one copy of each path is sufficient for this computation).
2. Select all paths that start with node 0 and end with node 6 from the pool of above randomly generated paths. This is achieved using PCR to amplify the DNA double strands generated from the last step with primers  $O_0$  and  $\overline{O}_6$ . With these two primers,

only those DNA (sub)strands that have  $O_0$  at one end and  $O_6$  at the other end are amplified by PCR.

3. Select all paths that have the desired length. Since every Hamiltonian path would have to traverse seven nodes, a solution to the problem, if one exists, would be a DNA strand of length 140 bp. Gel electrophoresis is used to select those strands of 140 bp in length.
4. Select all paths that traverse all remaining nodes 1, 2, 3, 4, and 5 from the paths that remain after the selection in the previous step. This is achieved by sequentially extracting DNA strands that contain  $O_1$ ,  $O_2$ ,  $O_3$ ,  $O_4$ , and  $O_5$  as a substrand. For node 1, the DNA strands with  $O_1$  as a substrand are selected by extraction, with the DNA single strands  $\overline{O_1}$  as the sequence attached to the surface. The remaining paths go through a similar selection for the remaining nodes in a sequential order.

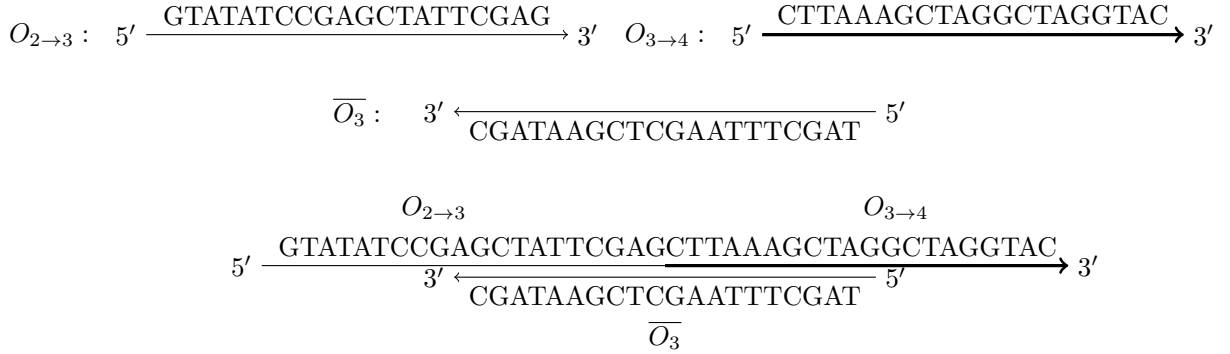


Figure 2.17: Example of a path formed by connecting two compatible edges using the node that they have in common [3]. Top: The directed edges from node 2 to node 3 and from node 3 to node 4 are encoded by the DNA single strands  $O_{2 \rightarrow 3}$  and  $O_{3 \rightarrow 4}$ . Middle: Node 3 is encoded by  $O_3$ , and the DNA single strand  $\overline{O_3}$  is used in computation. Bottom: The above strands can recombine to form a partially double-stranded DNA molecule after hybridization and ligation. Its top strand represents a path passing through the edge from node 2 to node 3, followed by the edge from node 3 to node 4. It also contains all the nodes that two neighbour edges in the path have in common. In this case, it is node 3.

After these selections, the remaining paths (if any) are Hamiltonian paths from node 0 to node 6 because each of them starts with node 0 and ends with node 6 (by step 2), each

traverses all seven nodes (by step 3), and each traverses each of the nodes at least once (by step 4).

The last step is the result readout, which can be done by checking if there are DNA double strands encoding paths left in the solution. The resulting DNA double strands can be amplified by PCR, and we can use gel electrophoresis to check the existence of DNA molecules. The answer to the Hamiltonian path problem is “yes” if there are DNA molecules of length 140 bp left and “no” otherwise. If there exists a Hamiltonian path, and one wants to know what is in the path, sequencing can be used to read the DNA sequence; it can then be decoded using the encoding scheme described above.

# Chapter 3

## Word Blending and Other Formal Models of Bio-operations

Since a seven-city instance of the directed Hamiltonian path problem was solved using programmed DNA interactions in a test tube [3], there has been an ongoing effort to model biological processes on DNA as computations. We continue this research direction by modelling the unexpected outcomes of a DNA wet lab protocol, when particular types of input DNA strands are its input, as two new bio-operations, and by studying their formal language properties.

In Section 3.1, an introduction to formal language operations is given. In Section 3.2, some biologically inspired word operations in the literature are described. In Section 3.3, the details of cross-pairing polymerase chain reaction (XPCR) is given. In addition, a previously studied bio-operation inspired by XPCR is discussed. In Section 3.4, a word operation that models a generalization of a special case of XPCR is defined and studied. In Section 3.5, a new word operation that is more closely related with the XPCR experimental requirement is proposed and studied, and Section 3.6 describes the wet lab experiments that motivate and implement this operation. In Section 3.7, a conclusion and possible future work are discussed.

Section 3.4 contains updated results from a paper I co-authored [76] titled “Word blending in formal languages.” This paper is the journal version of a conference paper I co-authored during my Master’s studies [75] titled “Word blending in formal languages: the Brangelina effect.”

Section 3.5 and Section 3.6 contain theoretical and experimental results from a paper I co-authored [15] titled “Conjugate word blending: Formal model and experimental

implementation by XPCR.”

The co-authors of [15] include an experimental team who implemented the XPCR experiments and generated the gel electrophoresis results in Section 3.6.

## 3.1 Introduction to formal language operations

This section gives a summary of the aspects of formal language study that are related to this thesis, and it includes the closure properties of some families of languages under some operations, their left- and right-inverses, and their descriptive state complexity.

### 3.1.1 Closure properties

Among different families of languages, the Chomsky hierarchy of languages is well known and well studied. The four families of languages in the Chomsky hierarchy are regular, context-free, context-sensitive, and recursively enumerable languages. Languages are categorized into these different families according to their generative grammar.

The following definitions are from [243].

**Definition 3.1.** A grammar is a quadruple  $G = (V_N, V_T, a_0, F)$ , where  $V_N$  is the non-terminal alphabet,  $V_T$  is the terminal alphabet,  $a_0 \in V_N$  is the initial symbol, and  $F \subseteq \{\alpha \rightarrow \beta \mid \alpha, \beta \in \{V_N \cup V_T\}^*, \text{Alph}(\alpha) \cap V_N \neq \emptyset\}$  is the set of production rules.

**Definition 3.2.** A grammar  $G = (V_N, V_T, a_0, F)$  is called:

- a type-3 grammar if

$$F \subseteq \{a \rightarrow b\alpha \mid a, b \in V_N, \alpha \in V_T^*\} \cup \{a \rightarrow \alpha \mid a \in V_N, \alpha \in V_T^*\};$$

- a type-2 grammar if  $F \subseteq \{a \rightarrow \alpha \mid a \in V_N, \alpha \in \{V_N \cup V_T\}^*\};$
- a type-1 grammar if

$$F \subseteq \{\alpha_1 a \alpha_2 \rightarrow \alpha_1 \beta \alpha_2 \mid a \in V_N, \alpha_1, \alpha_2, \beta \in (V_N \cup V_T)^*, \beta \neq \lambda\}; \text{ and}$$

- a type-0 grammar if there are no restrictions on  $F$ .

Note that these types of grammar are hierarchical, where a type- $i$  grammar is also a type- $j$  grammar,  $0 \leq j \leq i \leq 3$ . The Chomsky hierarchy of languages can thus be defined as follows:

**Definition 3.3.** [48] *A language is said to be:*

- regular if it can be generated by a type-3 grammar;
- context free if it can be generated by a type-2 grammar;
- context sensitive if it can be generated by a type-1 grammar; and
- recursively enumerable if it can be generated by a type-0 grammar.

The family of regular (context-free, context-sensitive, and recursively enumerable, respectively) languages is denoted by REG (CF, CS, and RE, respectively). A language  $L$  is said to be finite if it contains a finite number of words, and the family of finite languages is denoted by FIN.

In addition to generative grammars, there are simple idealized machines that recognize or accept languages [243].

**Definition 3.4.** *A non-deterministic finite automaton (NFA) is a quintuple  $M = (S, V_T, s_0, A, F)$ , where  $S$  is the set of states,  $V_T$  is the alphabet,  $s_0 \in S$  is the initial state,  $A \subseteq S$  is the set of final states, and  $F \subseteq \{sa \rightarrow s' \mid s, s' \in S, a \in V_T\} \cup \{s \rightarrow s' \mid s, s' \in S\}$  is the set of transitions.*

The set of transitions  $F$  of an NFA can also be written as a function  $\delta : S \times (\Sigma \cup \{\lambda\}) \rightarrow 2^S$ , defined as follows. Given states  $s, s' \in S$  and a letter  $a \in \Sigma$ , there is a transition of the form  $sa \rightarrow s' \in F$  if and only if we have  $s' \in \delta(s, a)$ ; there is a transition of the form  $s \rightarrow s' \in F$  if and only if we have  $s' \in \delta(s, \lambda)$ .

**Definition 3.5.** *A deterministic finite automaton (DFA) is a quintuple  $M = (S, V_T, s_0, A, F)$ , where  $S$  is the set of states,  $V_T$  is the alphabet,  $s_0 \in S$  is the initial state,  $A \subseteq S$  is the set of final states, and  $F \subseteq \{sa \rightarrow s' \mid s, s' \in S, a \in V_T\}$  is the set of transitions. Moreover,  $F$  contains at most one transition  $sa \rightarrow s'$  for each pair  $(s, a)$ , where  $s, s' \in S$  and  $a \in V_T$ .*

**Definition 3.6.** *A pushdown automaton (PDA) is a septuple  $M = (S, V_I, V_Z, z_0, s_0, A, F)$ , where  $S$  is the set of states,  $V_I$  is the input alphabet,  $V_Z$  is the stack alphabet,  $z_0 \in V_Z$  is the initial stack letter,  $s_0 \in S$  is the initial state,  $A \subseteq S$  is the set of final states, and  $F \subseteq \{zs_i a \rightarrow \alpha s_j \mid z \in V_Z, a \in V_I, \alpha \in V_Z^*, s_i, s_j \in S\} \cup \{zs_i \rightarrow \alpha s_j \mid z \in V_Z, \alpha \in V_Z^*, s_i, s_j \in S\}$  is the set of transitions.*



**Definition 3.7.** A linear bounded automaton (LBA) is a sextuple  $M = (S, V_I, V_T, s_0, A, F)$ , where  $S$  is the set of states,  $V_I \subseteq V_T$  is the input alphabet,  $V_T$  is the tape alphabet,  $s_0 \in S$  is the initial state,  $A \subseteq S$  is the set of final states, and  $F \subseteq \{s_i a \rightarrow s_j b \mid s_i, s_j \in S, a, b \in V_T\} \cup \{s_i a \rightarrow a s_j \mid s_i, s_j \in S, a \in V_T\} \cup \{c s_i a \rightarrow s_j c a \mid s_i, s_j \in S, a, c \in V_T\}$  is the set of transitions. Moreover, for each triple  $(s_i, a, s_j)$ , where  $s_i, s_j \in S$  and  $a \in V_T$ , the set of transitions  $F$  either contains no rules of the form  $c s_i a \rightarrow s_j c a$  or contains all rules of the form  $c s_i a \rightarrow s_j c a$  for all  $c \in V_T$ .

**Definition 3.8.** A Turing machine (TM) is a septuple  $M = (S, V_I, V_1, V_T, s_0, A, F)$ , where  $S$  is the set of states,  $V_T$  is the tape alphabet,  $\# \in V_T$  is the tape boundary marker,  $V_1 = V_T \setminus \{\#\}$  is a non-empty alphabet,  $V_I \subset V_1$  is the input alphabet,  $s_0 \in S$  is the initial state,  $A \subseteq S$  is the set of final states,  $\square \in V_1$  denotes an empty cell on the tape, and  $F \subseteq \{s_i a \rightarrow s_j b \mid s_i, s_j \in S, a, b \in V_1\} \cup \{s_i a c \rightarrow a s_j c \mid s_i, s_j \in S, a, c \in V_1\} \cup \{s_i a \# \rightarrow a s_j \square \# \mid s_i, s_j \in S, a \in V_1\} \cup \{c s_i a \rightarrow s_j c a \mid s_i, s_j \in S, a, c \in V_1\} \cup \{\# s_i a \rightarrow \# s_j \square a \mid s_i, s_j \in S, a \in V_1\}$  is the set of transitions.

In addition, for each triple  $(s_i, a, s_j)$ , where  $s_i, s_j \in S, a \in V_1$ , the set of transitions  $F$  either contains no rules of the form  $s_i a c \rightarrow a s_j c$  and  $s_i a \# \rightarrow a s_j \square \#$  ( $c s_i a \rightarrow s_j c a$  and  $\# s_i a \rightarrow \# s_j \square a$ ) or contains all rules of the form  $s_i a c \rightarrow a s_j c$  and  $s_i a \# \rightarrow a s_j \square \#$  ( $c s_i a \rightarrow s_j c a$  and  $\# s_i a \rightarrow \# s_j \square a$ ) for all  $c \in V_1$ .

Moreover, for each pair  $(s_i, a)$ , where  $s_i \in S, a \in V_1$ , there is at most one transition of the form  $s_i a \# \rightarrow a s_j \square \#, \# s_i a \rightarrow \# s_j \square a$  and  $s_i a \rightarrow s_j b$  in  $F$ , where  $s_j \in S$  and  $b \in V_1$ .

The relationships among the Chomsky hierarchy of languages, generative grammars, and recognition machines are summarized in Table 3.1 with examples.

Family	Grammar	Machine	Example
REG	Type-3	NFA/DFA	$\{a^n \mid n \geq 0\}$
CF	Type-2	PDA	$\{a^n b^n \mid n \geq 0\}$
CS	Type-1	LBA	$\{a^n b^n c^n \mid n \geq 0\}$
RE	Type-0	TM	$\{w \mid w \text{ encodes a TM that halts with empty input.}\}$

Table 3.1: The relationships among the Chomsky hierarchy of languages, generative grammars, and recognition machines with examples.

A family of languages  $\mathcal{L}$  is said to be closed under an operation  $\diamond$  if application of the operation  $\diamond$  on languages in the family  $\mathcal{L}$  always produces a language in the same family  $\mathcal{L}$ . Definitions of some operations are given in Table 3.2, and the closure properties of the Chomsky hierarchy of languages under these operations are summarized in Table 3.3.

Operation	Definition
Union	$L_1 \cup L_2 = \{\alpha \mid \alpha \in L_1 \text{ or } \alpha \in L_2\}$
Concatenation	$L_1 L_2 = \{\alpha\beta \mid \alpha \in L_1, \beta \in L_2\}$
Kleene star	$L^* = \bigcup_{i=0}^{\infty} L^i$
Kleene plus	$L^+ = \bigcup_{i=1}^{\infty} L^i$
Reverse	$L^r = \{a_1 a_2 \cdots a_k \mid a_k a_{k-1} \cdots a_1 \in L\}$
Substitution	$\begin{aligned} \sigma(L) &= \{\alpha \mid \exists \beta \in L : \alpha \in \sigma(\beta)\} \\ \sigma(\lambda) &= \lambda, \sigma(\alpha\beta) = \sigma(\alpha)\sigma(\beta) \\ \forall a \in \Sigma : \sigma(a) &\subseteq \Sigma_a^* \end{aligned}$
Homomorphism	$\begin{aligned} \sigma(L) &= \{\alpha \mid \exists \beta \in L : \alpha \in \sigma(\beta)\} \\ \sigma(\lambda) &= \lambda, \sigma(\alpha\beta) = \sigma(\alpha)\sigma(\beta) \\ \forall a \in \Sigma : \sigma(a) &\in \Sigma_a^* \end{aligned}$
Intersection	$L_1 \cap L_2 = \{\alpha \mid \alpha \in L_1, \alpha \in L_2\}$
Set difference	$L_1 \setminus L_2 = \{\alpha \mid \alpha \in L_1, \alpha \notin L_2\}$
Complementation	$L^c = \{\alpha \in \Sigma^* \mid \alpha \notin L\} = \Sigma^* \setminus L$
Left quotient	$L_2^{-l} L_1 = \{\beta \mid \alpha\beta \in L_1, \alpha \in L_2\}$
Left derivative	$\partial_\alpha L = \{\beta \mid \alpha\beta \in L\}$
Right quotient	$L_1 L_2^{-r} = \{\alpha \mid \alpha\beta \in L_1, \beta \in L_2\}$
Right derivative	$\partial_\beta L = \{\alpha \mid \alpha\beta \in L\}$
Prefix	$\text{pref}(L) = \{\alpha \mid \alpha\beta \in L, \alpha, \beta \in \Sigma^*\}$
Suffix	$\text{suff}(L) = \{\beta \mid \alpha\beta \in L, \alpha, \beta \in \Sigma^*\}$
Infix	$\text{inf}(L) = \{\beta \mid \alpha_1\beta\alpha_2 \in L, \alpha_1, \alpha_2, \beta \in \Sigma^*\}$
Sequential insertion	$\begin{aligned} L_1 \leftarrow L_2 &= \bigcup_{\alpha \in L_1, \beta \in L_2} (\alpha \leftarrow \beta) \\ \alpha \leftarrow \beta &= \{\alpha_1\beta\alpha_2 \mid \alpha = \alpha_1\alpha_2\} \end{aligned}$
Parallel insertion	$\begin{aligned} L_1 \Leftarrow L_2 &= \bigcup_{\alpha \in L_1, \beta \in L_2} (\alpha \Leftarrow \beta) \\ \alpha \Leftarrow L &= \{\beta_0 a_1 \beta_1 a_2 \cdots a_k \beta_k \mid \alpha = a_1 a_2 \cdots a_k, \beta_0, \beta_1, \dots, \beta_k \in L\} \end{aligned}$
Sequential deletion	$\begin{aligned} L_1 \rightarrow L_2 &= \bigcup_{\alpha \in L_1, \beta \in L_2} (\alpha \rightarrow \beta) \\ \alpha \rightarrow \beta &= \{\alpha_1\alpha_2 \mid \alpha = \alpha_1\beta\alpha_2, \alpha_1, \alpha_2 \in \Sigma^*\} \end{aligned}$
Dipolar deletion	$\begin{aligned} L_1 \leftrightarrow L_2 &= \bigcup_{\alpha \in L_1, \beta \in L_2} (\alpha \leftrightarrow \beta) \\ \alpha \leftrightarrow \beta &= \{\alpha_2 \mid \alpha = \alpha_1\alpha_2\alpha_3, \beta = \alpha_1\alpha_3, \alpha_1, \alpha_2, \alpha_3 \in \Sigma^*\} \end{aligned}$
Shuffle	$\begin{aligned} L_1 \amalg L_2 &= \bigcup_{\alpha \in L_1, \beta \in L_2} (\alpha \amalg \beta) \\ \alpha \amalg \beta &= \{\alpha_1\beta_1\alpha_2\beta_2 \cdots \alpha_k\beta_k \mid \alpha = \alpha_1\alpha_2 \cdots \alpha_k, \beta = \beta_1\beta_2 \cdots \beta_k, \\ &\quad k \in \mathbb{N}^+, \alpha_i, \beta_i \in \Sigma^*, 1 \leq i \leq k\} \end{aligned}$
Cyclic shift	$\text{SHIFT}(L) = \{\alpha\beta \mid \beta\alpha \in L\}$

Table 3.2: Definitions of some formal language operations. Languages are denoted by  $L$ , alphabets are denoted by  $\Sigma$ , words are denoted by lowercase letters from the Greek alphabet, and letters are denoted by lowercase letters from the English alphabet.

Operation	REG	CF	CS	RE	References
Union	Y	Y	Y	Y	[243]
Concatenation	Y	Y	Y	Y	[243]
Kleene star	Y	Y	Y	Y	[243]
Kleene plus	Y	Y	Y	Y	[243]
Reverse	Y	Y	Y	Y	[243]
Substitution	Y	Y	N	Y	[243]
Homomorphism	Y	Y	N	Y	[243]
Intersection	Y	N ( $L_1 \in \text{REG}$ or $L_2 \in \text{REG}$ )	Y	Y	[166, 234, 243, 246]
Set difference	Y	N	Y	N	[243, 246]
Complementation	Y	N	Y	N	[117, 164, 243, 254]
Left/right quotient	Y	N ( $L_2 \in \text{REG}$ )	N ( $L_2 \in \text{FIN}$ )	N	[88, 139, 243]
Left/right derivative	Y	Y	Y	Y	[243]
Prefix Suffix Infix	Y	Y	N	Y	[243]
Sequential insertion	Y	Y	Y	Y	[139]
Parallel insertion	Y	Y	Y	Y	[139]
Sequential deletion	Y	N	N	Y	[140]
Dipolar deletion	Y	N	N	Y	[140]
Shuffle	Y	N	Y	Y	[118, 139]
Cyclic shift	Y	Y	Y	Y	[182, 206]

Table 3.3: Closure properties of the Chomsky family of languages under formal language operations. Definitions are given in Table 3.2. The families of the languages considered are finite, regular, context free, context sensitive, and recursively enumerable denoted by FIN, REG, CF, CS, and RE, respectively. A letter “Y” in a cell indicates that the family of the column is closed under the operation of the row, and a letter “N” in a cell indicates that the family of the column is not closed under the operation of the row. In the case of N, the condition surrounded by brackets is the exceptional case, and  $L_1$  and  $L_2$  are the left and right operands of the binary operation.

### 3.1.2 Invertible operations

Consider an algebraic equation of the form  $ax = b$ , where  $a$  and  $b$  are known numbers, and  $x$  is an unknown number. Its solution can be calculated by  $x = b/a$ , where quotient can recover the right operand of multiplication from its left operand and product. A similar idea can be used to solve equations involving languages and formal language operations. For example, given two known languages  $L$  and  $R$  and an unknown language  $Y$  over an alphabet  $\Sigma$ , decision problems related to whether or not there exists a solution to  $LY = R$  were studied in [141].

In this section, language equations involving binary word operations are considered. For example, consider an equation of the form  $L \diamond Y = R$  or  $X \diamond L = R$ , where  $\diamond$  is a binary word operation,  $L$  and  $R$  are known languages, and  $X$  and  $Y$  are unknown languages. The question “whether or not there exists a solution to the equation” was studied in [141, 143, 154].

Using the idea that quotient can recover an operand of multiplication from its other operand and product, the left- and right-inverse of a binary word operation can be defined as follows.

**Definition 3.9.** *A binary word operation  $\diamond$  is called the left-inverse of  $\square$  if for all  $\alpha, \beta, \gamma \in \Sigma^*$ , we have that  $\gamma \in (\alpha \square \beta)$  if and only if  $\alpha \in (\gamma \diamond \beta)$ . Similarly, a binary word operation  $\diamond$  is called the right-inverse of  $\square$  if for all  $\alpha, \beta, \gamma \in \Sigma^*$ , we have that  $\gamma \in (\alpha \square \beta)$  if and only if  $\beta \in (\alpha \diamond \gamma)$ .*

For example, concatenation and right quotient are the left-inverses of each other, and sequential insertion and reversed dipolar deletion are the right-inverses of each other.

Using the definition of left- and right-inverses of binary word operations, the following propositions from [141] provide a way to find the solution to a language equation of the form  $L \diamond Y = R$  or  $X \diamond L = R$ .

**Proposition 3.10.** *Consider an equation  $L \diamond Y = R$ . If there is a solution to this equation, the language  $Y' = (L \square R^c)^c$  is also a solution to the equation, where  $\square$  is the right-inverse of  $\diamond$ , and all the solutions to this equation are subsets of  $Y'$ .*

**Proposition 3.11.** *Consider an equation  $X \diamond L = R$ . If there is a solution to the equation, the language  $X' = (R^c \square L)^c$  is a solution to the equation, where  $\square$  is the left-inverse of  $\diamond$ , and all the solutions to the equation are subsets of  $X'$ .*

Note that  $X'$  and  $Y'$  are the maximal solutions.

Using the above two propositions, the decidability of the existence of a (singleton) solution to an equation can be determined.

For example, consider an alphabet  $\Sigma$ , two regular languages  $L, R$  over  $\Sigma$ , and binary operations  $\diamond$  and  $\square$ , where the family of regular languages is closed under them, and they are the right-inverses to each other. We want to determine whether the question “does a solution to the equation  $L \diamond Y = R$  exist?” is decidable or not. A maximal solution  $Y' = (L \square R^c)^c$  can be effectively constructed because the family of regular languages is closed under  $\square$  and complementation. A solution exists if and only if the regular language  $L \diamond Y'$  equals the regular language  $R$ . Since testing the equivalence of two regular languages is decidable [6], the existence of a solution to the equation is also decidable.

### 3.1.3 State complexity

In this section, we briefly introduce state complexity and offer results about the state complexity of operations under which the family of regular language is closed.

The size of a DFA  $M = (S, V_T, s_0, A, F)$  can be determined by either the number of states  $|S|$  or the number of transitions  $|F|$ . These are related measurements because the number of transitions of  $M$  is at most  $|V_T| \cdot |S|$ . The state complexity of a regular language  $L$ , denoted by  $sc(L)$ , is defined as the number of states in the minimal complete DFA  $M$  that recognizes  $L$ . A DFA is said to be *complete* if there is a transition  $sa \rightarrow s'$  in  $F$  for every state  $s \in S$  and letter  $a \in V_T$ . A complete DFA is said to be *minimal* if there does not exist any complete DFA with fewer states recognizing the same language. For every regular language, there is a unique minimal complete DFA up to the renaming of the states, and it can be generated using the Myhill-Nerode theorem [199, 252].

For example, the minimal complete DFA recognizing the regular language  $L = a\{a, b\}^*b$  is shown in Figure 3.1, which gives up  $sc(L) = 4$ .

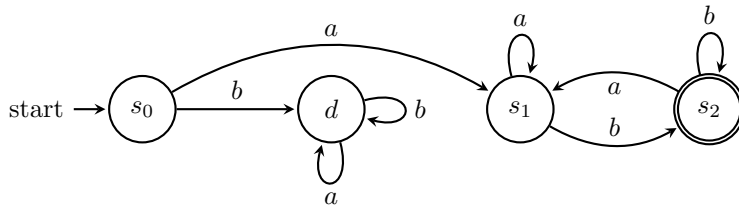


Figure 3.1: The minimal complete DFA recognizing the regular language  $a\{a, b\}^*b$ .

A regular language  $L$  is called an  $m$ -state DFA language if  $L$  can be recognized by a DFA with  $m$  states.

The definition of state complexity can be extended to a regularity-preserving operation (an operation that outputs a regular language whenever its operand[s] are regular) as follows.

**Definition 3.12.** *Let  $\diamond$  be a regularity-preserving operation taking  $k$  operands, and let  $L_i$  be an  $m_i$ -state DFA language for  $1 \leq i \leq k$ . The state complexity of  $\diamond$  is the number of states, in terms of  $m_i$ ,  $1 \leq i \leq k$ , that is sufficient and necessary for a minimal complete DFA to recognize the output of  $\diamond$  on operands  $L_i$ ,  $1 \leq i \leq k$ .*

To show that the state complexity of  $\diamond$  is a tight upper bound, a family of languages for each operand should be provided such that the number of states of the minimal complete DFA recognizing the output reaches that bound. These families of languages are called *witnesses*.

For example, consider an alphabet  $\Sigma$ , an  $m$ -state regular language  $L_m$  over  $\Sigma$ , and an  $n$ -state regular language  $L_n$  over  $\Sigma$ , where  $m = 1$ ,  $n \geq 2$ , and  $|\Sigma| \geq 2$ , the state complexity of concatenation  $\text{sc}(L_m L_n)$  is  $2^n - 2^{n-1}$ , and the witnesses are  $L_m = \{a, b\}^*$  and  $L_n = \{ubv \in \{a, b\}^* \mid |v|_a \equiv n - 2 \pmod{n - 1}\}$  [279].

The state complexities of concatenation, union, intersection, complementation, reverse, and Kleene star were studied in [125–127, 189, 229, 278, 279]. These are summarized in Table 3.4.

In addition to the above mentioned operations, the state complexities of other operations, such as left/right quotient [279] and left/right derivative [71], were studied. Other variations, such as the state complexity regarding NFA [71, 125–128, 187] and state complexity considering such sub-regular languages as finite languages [33, 34, 93, 109, 110, 278], were studied.

A family of languages called *universal witnesses* was identified in [30]. These can be used as witnesses for many of the above mentioned operations and compositions of operations. The conditions about the universal witnesses can be used as heuristics when searching for witnesses for a given upper bound.

It has also been proved that no algorithm exists to calculate the state complexity of an operation that is a composition of regularity-preserving operations with known state complexities [244].

Operation	State complexity	Condition	References
$L_m L_n$	$2^n - 2^{n-1}$	$m = 1, n \geq 2,  \Sigma  \geq 2$	[279]
	$m2^n - 2^{n-1}$	$m \geq 2, n \geq 2,  \Sigma  \geq 2$	[126]
	$m$	$m \geq 1, n = 1,  \Sigma  \geq 1$	[279]
	$mn$	$m = 1, n \geq 2,  \Sigma  = 1, \gcd(m, n) = 1$	[279]
$L_m \cup L_n$	$mn$	$m \geq 1, n \geq 1,  \Sigma  \geq 2$	[279]
		$m \geq 1, n \geq 1,  \Sigma  = 1, \gcd(m, n) = 1$	[278]
$L_m \cap L_n$	$mn$	$m \geq 1, n \geq 1,  \Sigma  \geq 2$	[229, 279]
		$m \geq 1, n \geq 1,  \Sigma  = 1, \gcd(m, n) = 1$	[278]
$L_m^c$	$m$	$m \geq 1, n \geq 1,  \Sigma  \geq 1$	[125]
$L_m^r$	$2^m$	$m \geq 1, n \geq 1,  \Sigma  \geq 2$	[127]
	$m$	$m \geq 1, n \geq 1,  \Sigma  = 1$	[189]
$L_m^*$	$2^{m-1} + 2^{m-k-1}$	$m \geq 2, k =  A \setminus \{s_0\}  \geq 1,  \Sigma  \geq 2$	[279]
	$m$	$m \geq 2,  A \setminus \{s_0\}  = 0,  \Sigma  \geq 1$	
	$2$	$m = 1,  \Sigma  \geq 1$	
	$(m-1)^2 + 1$	$m \geq 2,  A \setminus \{s_0\}  \geq 1,  \Sigma  = 1$	

Table 3.4: Summary of the state complexities of concatenation, union, intersection, complementation, reverse, and Kleene star. The operands are two languages  $L_m$  and  $L_n$  over an alphabet  $\Sigma$ , and they can be recognized by minimal complete DFA with  $m$  and  $n$  states, respectively. The state complexities depend on conditions like the number of states, the size of the alphabet, the number of states in the set of final states, and whether  $m$  and  $n$  are co-prime. The witnesses given in the paper appear in the reference column.

## 3.2 Biologically inspired word operations

This section lists biologically inspired word operations. They formalize DNA processes that are:

- naturally occurring—duplication, inversion, transposition, repeat deletion, and block substitution;
- related to the actions of enzymes on DNA strands—splicing, hairpin completion, and template-directed extension; and
- related to lab protocols with multiple steps—contextual insertion/deletion and site-directed deletion/insertion.

First, there are many naturally occurring DNA processes that modify DNA strands, such as mutations, insertions, and deletions. Genes are segments of DNA that can determine the traits of an organism, a chromosome is a linear collection of genes, and a genome is the complete set of DNA of an organism. There are many known processes of genome rearrangements, and the following bio-operations are related to them.

The process where a segment of a chromosome is reversed end-to-end is called *chromosomal inversion*. For example, consider words  $u$ ,  $v$ , and  $w$  over an alphabet  $\Sigma$ , the word  $uvw$  becomes  $uv^rw$  after a chromosomal inversion. This process is formalized as *inversion* in [59]. The process, where the whole segment does not reverse completely during inversion, is formalized as *pseudo inversion* [43]. For a chromosome, multiple inversions may happen at the same time. This process is modelled as *non-overlapping inversion* [156]. A related operation called *block reversal* was studied in [174]. *Hairpin inverted repeat* models the situation where an inversion occurs at the head of a hairpin structure [57].

The process where a segment of a chromosome is moved to a new location in the chromosome is called *transposition*. For example, the word  $u\alpha\beta v$  becomes  $v\beta\alpha u$ . This process is formalized as *transposition* in [59].

The process called *duplication* copies a segment of a chromosome to a new location. For example, the word  $uvw$  becomes  $uvvw$ . This process is formalized as *duplication* in [59]. A variation of duplication that identifies a set of subwords that can be duplicated was studied in [119]. In addition, duplication with length limitation was considered in [121]. Copying errors can occur during duplication, such as the duplicated part having an altered sequence (modelled by *pseudo duplication* [44]) or the duplicated part being reversed (modelled by *reverse duplication* [44, 58]). The bio-operation *repeat deletion* models the process where the duplicated substrand of DNA is skipped, and it was studied in [119].

The phenomenon of errors occurring in DNA strands, where part of a DNA strand is replaced with another strand of the same length, is modelled by the bio-operation called *block substitution*, defined and studied in [146].

Next, we consider the DNA processes that are related to the actions of enzymes, such as restriction enzymes, ligases, and DNA polymerases.

The DNA recombination achieved by restriction enzyme digestion and ligation is modelled as a bio-operation called *splicing*, as studied in [95, 221, 223].

Given an alphabet  $\Sigma$ , a splicing rule  $r$  is defined as  $r = u_1\#u_2\$u_3\#u_4$ , where  $\#, \$ \notin \Sigma$  and  $u_1, u_2, u_3, u_4 \in \Sigma^*$  [223]. In a splicing rule  $u_1\#u_2\$u_3\#u_4$ , the words  $u_1$  and  $u_4$  are called *visible sites*, while  $u_2$  and  $u_3$  are called *invisible sites*. For two strings  $x = x_1u_1u_2x_2$  and  $y = y_1u_3u_4y_2$ , applying the rule  $r = u_1\#u_2\$u_3\#u_4$  produces a string  $z = x_1u_1u_4y_2$ ,



and this is denoted by  $(x, y) \vdash^r z$ . Splicing rules of the form  $w\#\lambda\$w\#\lambda$ , where  $w \in \Sigma^+$ , are called *null-context splicing rules* [95].

A splicing scheme is a pair  $\sigma = (\Sigma, \mathcal{R})$ , where  $\Sigma$  is an alphabet, and  $\mathcal{R}$  is a set of splicing rules. A splicing scheme  $\sigma = (\Sigma, \mathcal{R})$  is said to be regular (context free, context sensitive, respectively) if  $\mathcal{R}$  is a regular (context-free, context-sensitive, respectively) language contained in  $\Sigma^*\#\Sigma^*\$\Sigma^*\#\Sigma^*$ . The closure properties of various families of languages under a splicing scheme were studied in [96].

A splicing system is a splicing scheme together with an initial language, and the language generated by a splicing system is the set of all words obtained by iteratively applying splicing rules on the initial language. A splicing system is called a *simple splicing system* [184] if the splicing rules are restricted to rules of the form  $a\#\lambda\$a\#\lambda$  for  $a \in \Sigma$ . In [222], it is shown that the families of regular, context-free, and recursively enumerable languages are closed under splicing systems with a regular splicing scheme and finitely many visible sites. Splicing systems with a regular splicing scheme and a finite initial language have the same computational power as the Turing machine [210, 224].

As mentioned in Section 2.1, a DNA single strand can form an intramolecular structure called a hairpin if it contains compatible substrands. The resulting hairpin structure may have a partially double-stranded stem, and a polymerase enzyme can be used to extend the stem to become fully double stranded. This process is formalized as a unary word operation called *hairpin completion*, defined in [41], where the closure properties under it and its iterated version have been studied. Its variation with length restrictions on the sticky end was defined and studied in [120, 162]. Other related bio-operations were studied in [120, 176–179].

The process where a DNA polymerase enzyme extends a primer according to a template is formalized as template-directed extension, introduced in [74]. The families of regular and recursively enumerable languages are closed under it, but the families of context-free and context-sensitive languages are not.

Lastly, there are some lab protocols that are used to modify DNA strands.

Insertions and deletions of nucleotide sequences can be achieved by a biology lab technique called *PCR site-specific oligonucleotide mutagenesis* [64], and these processes can be modelled as language operations called *contextual insertion* and *contextual deletion* defined and studied in [153]. Closure properties under contextual insertion and contextual deletion and the decidability of the existence of solutions to equations involving them were studied in [153]. They can be used to defined a computation system called an *insertion-deletion system* that has the same computational power as the Turing ma-

chine [151, 153, 211, 259]. Related operations called *site-directed deletion/insertion* were defined and studied in [45–47, 173].

### 3.3 Cross-pairing polymerase chain reaction (XPCR) and overlap assembly

Cross-pairing polymerase chain reaction (XPCR) is a wet lab procedure introduced in [84] for extracting all the strands that contain a given pattern (a substring) from a heterogeneous pool of DNA strands. It was employed to implement several DNA recombination algorithms [86], to create the solution space for a SAT problem [82], and for mutagenesis [85]. The combinatorial power of this technique was explained using logical-symbolic schemes in [175], while algorithms to create combinatorial libraries were experimented in [85] and improved in [83], where all permutations of the three genes were generated. The process of XPCR is shown in Figure 3.2, where the inputs of XPCR are  $\alpha X \gamma$  and  $\gamma Y \beta$ , and the output is  $\alpha X \gamma Y \beta$ .

The wet lab experiments reported in this chapter involve three different genes: *dbtAa* (Ferredoxyn Reductase, 1,019 bp), *dbtAb* (Ferredoxyn, 311 bp), and *dbtAd* ( $\beta$  Dioxygenase subunit, 518 bp), extracted from the widely studied bacterial strain *Burkholderia fungorum* *DBT1* [62]. In the following, we denote these three genes by the capital letters A, B, and D, respectively, and the primers (21 bp long DNA sequences used in XPCR) by  $\alpha$ ,  $\beta$ , and  $\gamma$ . The primer  $\alpha$  ( $\beta$  and  $\gamma$ , respectively) is TTCTACAAGGAGGATATTACC (GATATCAGGTACATCTCCATA and ATATTGGAGGAGGTATACAAC, respectively). The experimental results of XPCR to concatenate pairs of genes (D with B, B with D, A with B, and D with A) using primers  $\alpha$ ,  $\beta$ , and  $\gamma$  are shown in Figure 3.3.

The process of XPCR illustrated in Figure 3.3 was formalized as a binary word operation called overlap assembly in [73].

**Definition 3.13.** *Given two words  $x, y \in \Sigma^*$ , the overlap assembly of  $x$  with  $y$  is defined by*

$$x \overline{\odot} y = \{uvw \mid x = uv, y = vw, u, w \in \Sigma^*, v \in \Sigma^+\}.$$

This operation was studied under the name *linear self-assembly* in [55] and *chop* in [108]. It can also be considered a special case of a *semantic shuffle on trajectories*, as studied in [65]. The iteration of this process was called *parallel overlap assembly*, and it was used to generate combinations of partially double-stranded DNA molecules [137].

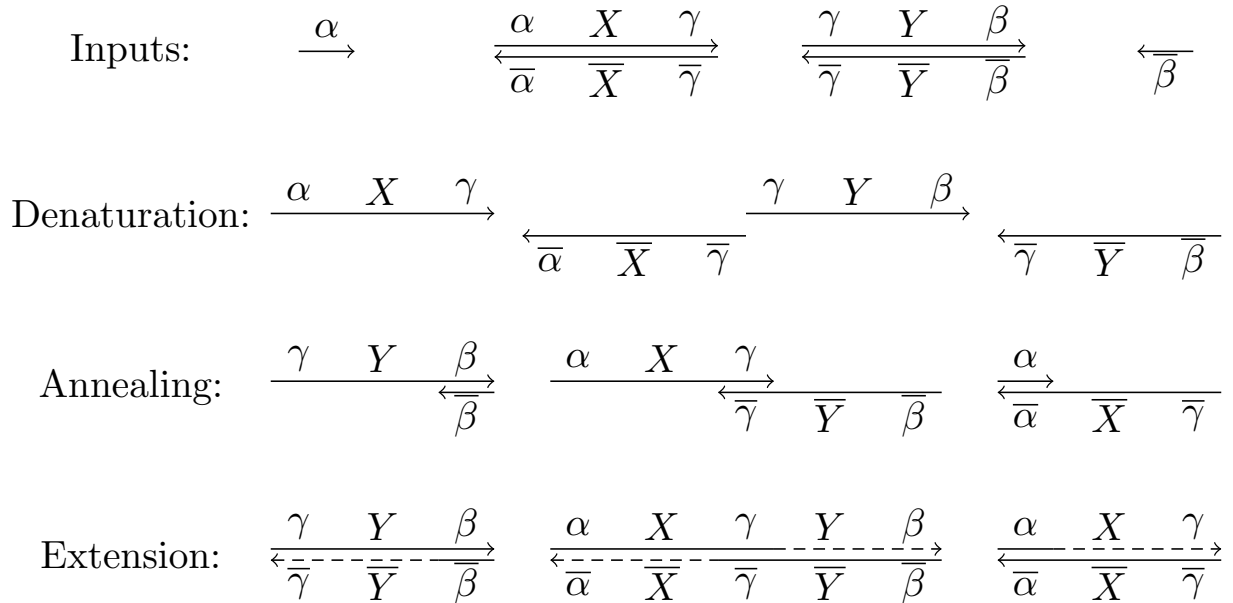


Figure 3.2: Cross-pairing polymerase chain reaction (XPCR). XPCR can be used to create and amplify a recombination of two genes. The inputs include two templates (DNA double strands  $\alpha X \gamma$  and  $\gamma Y \beta$  in the first row), two primers (DNA single strands  $\alpha$  and  $\bar{\beta}$  in the first row), nucleotides (not shown), and DNA polymerase (not shown). One cycle of XPCR has the three following steps: denaturation, annealing, and extension. During the denaturation step of the first cycle, the templates break into single strands  $\alpha X \gamma$ ,  $\bar{\alpha} \bar{X} \bar{\gamma}$ ,  $\gamma Y \beta$ , and  $\bar{\gamma} \bar{Y} \bar{\beta}$  because of an increase in temperature. During the annealing step of the first cycle, two of the single strands from the templates hybridize with primers ( $\gamma Y \beta$  with  $\bar{\beta}$  and  $\bar{\alpha} \bar{X} \bar{\gamma}$  with  $\alpha$ ), and the other two single strands from the templates hybridize with each other ( $\alpha X \gamma$  with  $\bar{\gamma} \bar{Y} \bar{\beta}$ ) because of the decrease in temperature. Finally, during the extension step of the first cycle, the primers and the single strands of the recombinant are extended by DNA polymerases using the free-floating nucleotides present in the solution according to the template strands. In the following cycles, XPCR acts similarly to PCR, with primers  $\alpha$  and  $\bar{\beta}$  and a template  $\alpha X \gamma Y \beta$ . The recombinant DNA double strand  $\alpha X \gamma Y \beta$  is amplified exponentially.

The closure properties of the Chomsky families of languages under overlap assembly, the decidabilities of some decision problems (such as emptiness, context-freeness and finiteness about the languages generated by overlap assembly), as well as properties about languages

generated by the iterative application of overlap assembly, were studied in [72, 73]. In addition, the state complexity of overlap assembly was studied in [31].

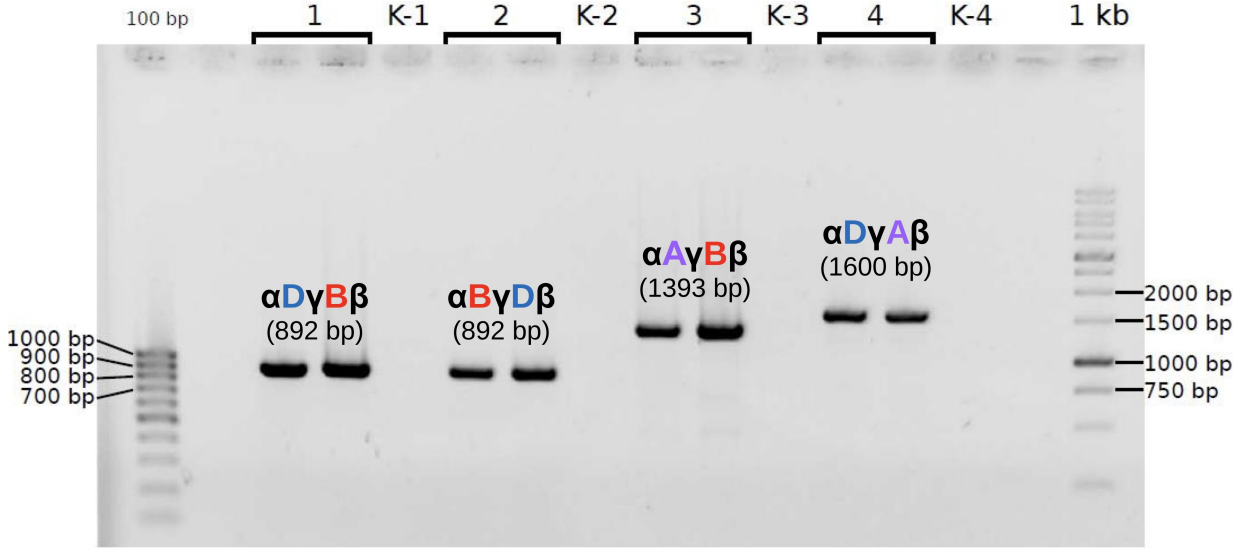


Figure 3.3: XPCR with templates containing different genes [83]. Lane 1: XPCR with templates  $\alpha D\gamma$  (560 bp) and  $\gamma B\beta$  (353 bp) amplifies the strand  $\alpha D\gamma B\beta$  (892 bp). Lane 2: XPCR with templates  $\alpha B\gamma$  (353 bp) and  $\gamma D\beta$  (560 bp) amplifies the strand  $\alpha B\gamma D\beta$  (892 bp). Lane 3: XPCR with templates  $\alpha A\gamma$  (1,061 bp) and  $\gamma B\beta$  (353 bp) amplifies the strand  $\alpha A\gamma B\beta$  (1,393 bp). Lane 4: XPCR with templates  $\alpha D\gamma$  (560 bp) and  $\gamma A\beta$  (1,061 bp) amplifies the strand  $\alpha D\gamma A\beta$  (1,600 bp). Lanes K-1, K-2, K-3, and K-4: Negative controls without templates for the reactions in Lanes 1, 2, 3, and 4, respectively.

As shown in Definition 3.13, the operands  $x$  and  $y$  can be decomposed as  $x = uv$  and  $y = vw$ , where  $u$  and  $w$  are non-overlapping parts, and  $v$  is the overlapping part. Some related operations are summarized as follows with different length restrictions on these (non-)overlapping parts of the operands.

- *Restricted assembly*: The non-overlapping parts  $u$  and  $w$  are non-empty [55].
- Word operation denoted by  $\otimes$ : The concatenation of the non-overlapping parts  $uw$  are non-empty, but the overlapping part  $v$  can be empty [122]. Note that  $a^* \otimes b^* = \{a^+b^*\} \cup \{a^*b^+\}$ , whereas  $a^* \odot b^* = \emptyset$ .
- *Max chop* denoted by  $\odot_{\max}$ : Only the longest overlapping part is considered [108].

- *Min chop* denoted by  $\odot_{\min}$ : Only the shortest overlapping part is considered [108].
- *Short concatenation*: Only the longest overlapping part is considered, and the overlapping part can be empty [35].
- *Word operation* denoted by  $\odot_N$ : The length of the overlapped part is required to be at least  $N \in \mathbb{N}^+$  [66].
- *Fusion* denoted by  $\odot$ /*Latin product*: The overlapped part is a single character [10, 89, 106, 107].

### 3.4 Word blending

This section contains updated results from a paper I co-authored [76], and if a proof was already included in [75], it will be omitted.

As shown in Section 3.3, the XPCR procedure has been successfully used to join two different genes if they are attached to compatible primers [83]. Formally,  $\alpha X \gamma$  and  $\gamma Y \beta$  were combined to produce  $\alpha X \gamma Y \beta$  ( $X$  and  $Y$  are gene sequences, and  $\alpha$ ,  $\gamma$ , and  $\beta$  are primers). However, when  $X = Y$ , that is, when two sequences containing the same gene were combined by XPCR, the result was not as expected. More specifically, when using XPCR with the input  $\alpha X \gamma$ ,  $\gamma X \beta$ ,  $\alpha$ , and  $\beta$ , instead of obtaining the expected  $\alpha X \gamma X \beta$ , the experiments repeatedly produced the result  $\alpha X \beta$ .

In this section, we define and investigate a binary word and language operation called *word blending*, which formalizes the following generalization of this experimentally observed outcome of XPCR: The word blending of two words  $\alpha X \gamma_1$  and  $\gamma_2 X \beta$  that share a non-empty overlap  $X$  results in  $\alpha X \beta$ . Note that while  $\gamma_1 = \gamma_2$  was required by XPCR, it is not required for our definition of the operation. Interestingly, this phenomenon has been observed independently in linguistics [91], under the name “blend word” or “portmanteau,” and is responsible for the creation of words in the English language such as smog (smoke + fog), labradoodle (labrador + poodle), emoticon (emotion + icon), and Brangelina (Brad + Angelina).

We model this string recombination as follows.

**Definition 3.14.** *Given two words  $x, y$  over an alphabet  $\Sigma$ , we define the word blending or, simply, blending of  $x$  with  $y$  as*

$$x \bowtie y = \{z \in \Sigma^+ \mid \exists \alpha, \beta, \gamma_1, \gamma_2 \in \Sigma^*, \exists w \in \Sigma^+ : x = \alpha w \gamma_1, y = \gamma_2 w \beta, z = \alpha w \beta\}.$$

Note that the result of blending between two words is the empty set (the operation is undefined) if the words do not share a non-empty infix. If one or both words are empty, the operation is similarly undefined. The definition of blending can be extended to languages  $L_1$  and  $L_2$  by

$$L_1 \bowtie L_2 = \bigcup_{x \in L_1, y \in L_2} x \bowtie y.$$

First, for example, consider  $u = bbac$  and  $v = caab$ . Then we have

$$u \bowtie v = \{b, bb, bbab, bbaab, bbacaab\},$$

$$v \bowtie u = \{c, cac, caac, caabac, caabbac\}.$$

Next, consider  $L_1 = a^*b^*$  and  $L_2 = b^*c^*$ . Then we have  $L_1 \bowtie L_2 = a^*b^+c^*$  and  $L_2 \bowtie L_1 = b^+$ . It is clear from this that blending is not commutative.

We emphasize that the definition of blending is a generalization of the experimentally observed outcome of XPCR on DNA strings. Indeed, to match the experimentally observed process, we would have to take  $\gamma_1 = \gamma_2$  in Definition 3.14. We also note that for a realistic model, we would need additional restrictions, such as the fact that the words  $w$ ,  $\gamma_1$ , and  $\gamma_2$  should be of a sufficient length and that these words should not appear as a substring in the other strings involved.

The blending operation resembles the Latin product [89] and the crossover operation [36, 184]. The Latin product, denoted by  $\diamond$ , was defined as  $u \diamond v = u'av'$  for  $u = u'a$  and  $v = av'$ , where  $a \in \Sigma$  and  $u', v' \in \Sigma^*$ , and, by definition,  $u \diamond \lambda = \lambda \diamond u = u$ . Even though, as will be proved in Lemma 3.15, word blending is equivalent to single-letter-overlap word blending, the Latin product differs from blending: In the Latin product, the overlap and blending can only occur at the extremities of the words, while in word blending it can happen anywhere inside the two operand words. Given a subset of the alphabet  $M \subseteq \Sigma$ , the *crossover* operation  $\sharp_M$  is defined as  $L_1 \sharp_M L_2 = \text{pref}(L_1) \diamond_M \text{suff}(L_2)$ , where  $\diamond_M$  is a restriction of the Latin product, defined by

$$u \diamond_M v = \begin{cases} u'av' & \text{if } u = u'a, v = av', a \in M, u', v' \in \Sigma^*, \\ \text{undefined} & \text{otherwise.} \end{cases}$$

By definition,  $u \diamond_M \lambda = \lambda \diamond_M u = u$ , and the crossover on languages is defined as  $L_1 \sharp_M L_2 = \bigcup_{u \in L_1, v \in L_2} (u \diamond_M v)$ . The blending operation resembles the crossover operation  $\sharp_M$  with  $M = \Sigma$ . However, due to its biological motivation, unlike the Latin product and the crossover operation, blending is not defined when one of the operands is  $\lambda$ , and this leads

to additional differences. For example, the crossover using  $M = \Sigma = \{a, b\}$  between  $ab$  and  $ba$  is  $ab \#_{\Sigma} ba = \text{pref}(ab) \diamond \text{suff}(ba) = \{\lambda, a, b, ab, ba, aba\}$ , while the Latin product of the same words is  $ab \diamond ba = \{aba\}$ , and the blending between the same words is  $ab \bowtie ba = \{a, aba\}$ . Also, both the Latin product and the crossover operation  $\#_M$  for a given  $M$  are associative, while word blending is not. For example,  $(ba \bowtie a) \bowtie b^*a = ba \bowtie b^*a = b^+a$ , while  $ba \bowtie (a \bowtie b^*a) = ba \bowtie a = ba$ .

One can extend the blending operation to an iterated version as follows. For  $L \subseteq \Sigma^*$ , the *iterated (word) blending* of  $L$  is defined by  $L^{\bowtie 0} = L$ , and  $L^{\bowtie i} = L \bowtie L^{\bowtie i-1}$ ,  $i \geq 1$ . We define the iterated blending closure of  $L$  by

$$L^{\bowtie*} = \bigcup_{i \geq 0} L^{\bowtie i}.$$

We observe that the result of the iterated blending operation resembles the result of a splicing system. It is easy to see that the language  $L^{\bowtie*}$  can be generated using a set of null-context splicing rules. In fact, we can show that iterated blending can be expressed as a simple splicing system, where the crossover operation described above was also introduced as “one step” of a simple splicing system. The relationship between iterated blending and splicing will be discussed in greater detail in Section 3.4.1.

### 3.4.1 Closure properties

In this section, we prove that the families of regular, context-free, and recursively enumerable languages are closed under blending, but that the family of context-sensitive languages is not. The section also contains closure properties of the Chomsky families under the right- and left-inverse of blending as well as under iterated blending.

The following lemma shows that blending is equivalent to a restricted version where only one-letter overlaps are utilized. A similar simplification was made for synchronized insertion and deletion and hairpin inversion by Daley et al. [56].

**Lemma 3.15.** *If  $x, y$  are non-empty words over  $\Sigma$ , then*

$$x \bowtie y = \{z \in \Sigma^+ \mid \exists \alpha, \beta, \gamma_1, \gamma_2 \in \Sigma^*, \exists a \in \Sigma : x = \alpha a \gamma_1, y = \gamma_2 a \beta, z = \alpha a \beta\}.$$

*Proof.* Let  $A$  denote the right-hand side of the equality. The inclusion  $A \subseteq x \bowtie y$  is obvious by the definition of blending. To prove the converse, let  $z \in x \bowtie y$ . Then  $z = \alpha w \beta$  for some  $\alpha, \beta, \gamma_1, \gamma_2 \in \Sigma^*$  and  $w \in \Sigma^+$  such that  $x = \alpha w \gamma_1$ ,  $y = \gamma_2 w \beta$ . As  $w \in \Sigma^+$ ,  $w$  can

be written as  $w = w_1a$ , where  $w_1 \in \Sigma^*$  and  $a \in \Sigma$ . It follows that  $x = \alpha w_1 a \gamma_1$ ,  $y = \gamma_2 w_1 a \beta$ , and  $z = \alpha w_1 a \beta$ , that is,  $x = \alpha' a \gamma_1$ ,  $y = \gamma_2' a \beta$ , and  $z = \alpha' a \beta$  with  $\alpha' = \alpha w_1 \in \Sigma^*$  and  $\gamma_2' = \gamma_2 w_1 \in \Sigma^*$ . Thus,  $z \in A$ , which proves equality.  $\square$

The above lemma indicates that word blending,  $\bowtie$ , is a generalization of the chop operation (also called fusion), as studied in [106,107], whereby  $u \odot v$  equals  $u' a v'$  if  $u = u' a$ ,  $v = a v'$ ,  $u', v' \in \Sigma^*$ , and  $a \in \Sigma$ , and it is undefined otherwise. Also note that the chop operation differs from the Latin product only when one of the operands is  $\lambda$ , in which case the result of the Latin product equals the other operand, while the chop operation (fusion) is undefined. Lemma 3.15 can be extended to languages in the natural way. From this lemma, we can show that the blending of two languages can be obtained by combining the right quotient, catenation, left quotient, and union operations as follows.

**Proposition 3.16.** *Given languages  $L_1, L_2 \subseteq \Sigma^+$ ,*

$$L_1 \bowtie L_2 = \bigcup_{a \in \Sigma} (L_1 (a \Sigma^*)^{-1r}) a ((\Sigma^* a)^{-1l} L_2).$$

*Proof.* Let  $z \in L_1 \bowtie L_2$ . Then, by Lemma 3.15,  $z = \alpha a \beta$  for some  $x \in L_1$  and  $y \in L_2$  such that  $x = \alpha a \gamma_1$  and  $y = \gamma_2 a \beta$ , where  $a \in \Sigma$  and  $\alpha, \beta, \gamma_1, \gamma_2 \in \Sigma^*$ . It is clear that  $\alpha \in L_1 (a \Sigma^*)^{-1r}$  and  $\beta \in (\Sigma^* a)^{-1l} L_2$ , so  $z = \alpha a \beta \in (L_1 (a \Sigma^*)^{-1r}) a ((\Sigma^* a)^{-1l} L_2)$ .

Conversely, let  $z \in \bigcup_{a \in \Sigma} (L_1 (a \Sigma^*)^{-1r}) a ((\Sigma^* a)^{-1l} L_2)$ . Then there exists a letter  $a \in \Sigma$  and words  $\alpha, \gamma_1, \gamma_2, \beta \in \Sigma^*$ , such that  $z = \alpha a \beta$ , where  $x = \alpha a \gamma_1 \in L_1$  and  $y = \gamma_2 a \beta \in L_2$ , which implies that  $z \in L_1 \bowtie L_2$ .  $\square$

**Corollary 3.17.** *The families of regular, context-free, and recursively enumerable languages are closed under blending.*

*Proof.* It follows from Proposition 3.16 and the fact that families of regular, context-free, and recursively enumerable languages are closed under left/right quotient with regular languages, catenation, and union [243].  $\square$

A counterexample can be found to prove the following proposition [75].

**Proposition 3.18.** *The family of context-sensitive languages is not closed under blending.*

Next, we consider the left- and right-inverses of blending.

The right-inverse of an operation does not always resemble a binary operation in the traditional sense. For example, if we define the operation  $u * v = \{a^{|u|} \mid a \in \Sigma\}$ , where  $\Sigma$



is the alphabet, then the right-inverse of this operation,  $x *_r^{-1} y$ , equals  $\Sigma^*$  if  $y = a^{|x|}$  and equals  $\emptyset$  if  $y \neq a^{|x|}$ . However, the relation  $y \in x *_r^{-1} (x * y)$  still holds, and this will be sufficient for solving language equations involving binary word operations, as detailed in Section 3.4.2.

Also note that the right-inverse of a binary word operation inherits some of the properties of the original binary operation. For example, a standard property of many familiar binary word operations (catenation, left/right quotient, insertion, deletion, shuffle, etc.) is that they have a right (left) identity: A binary word operation with a *right identity* is a binary word operation  $\oplus$  with the property  $u \oplus \lambda = \{u\}$  for all  $u \in \Sigma^*$ . The notion of binary word operation with a *left identity* is defined similarly. For example, catenation, insertion, and shuffle are binary operations with both right and left identities, while deletion and left/right quotient are binary word operations with a right identity only. The operation of word blending has neither a right identity nor a left identity. In general, the following result holds.

**Proposition 3.19.** *If  $\oplus$  is a binary word operation with a left identity, then its right-inverse  $\oplus_r^{-1}$  is also a binary operation with a left identity.*

*Proof.* Let  $v$  be a word in  $(\lambda \oplus_r^{-1} w)$ . By definition of the right-inverse,  $v \in (\lambda \oplus_r^{-1} w)$  if and only if  $w \in (\lambda \oplus v)$ , which, in turn, equals  $\{v\}$ , as  $\oplus$  is an operation with a left identity. Thus, for all  $v \in (\lambda \oplus_r^{-1} w)$ , we have that  $v = w$ , which means that  $\{w\} = (\lambda \oplus_r^{-1} w)$ , so  $\oplus_r^{-1}$  is a binary operation with a left identity.  $\square$

**Proposition 3.20.** *The right-inverse of a binary word operation  $\oplus$  is unique.*

*Proof.* Assume the contrary, that is, assume that a binary word operation  $\oplus$  has two distinct right-inverses  $\oplus_1$  and  $\oplus_2$ . By definition, for all words  $u, y, w \in \Sigma^*$ , the following relations hold:  $w \in (u \oplus y)$  if and only if  $y \in (u \oplus_1 w)$ , and  $w \in (u \oplus y)$  if and only if  $y \in (u \oplus_2 w)$ .

Since  $\oplus_1$  and  $\oplus_2$  are distinct, there exist some words  $\alpha, \beta$  such that  $(\alpha \oplus_1 \beta) \neq (\alpha \oplus_2 \beta)$ . Without loss of generality, assume that there exists a word  $\gamma \in (\alpha \oplus_1 \beta)$  such that  $\gamma \notin (\alpha \oplus_2 \beta)$ .

By definition of  $\oplus_1$ , from  $\gamma \in (\alpha \oplus_1 \beta)$ , we have that  $\beta \in (\alpha \oplus \gamma)$ , which implies that  $\gamma \in (\alpha \oplus_2 \beta)$  by definition of  $\oplus_2$ . This contradicts our assumption about  $\gamma$ , so the right-inverse of a binary word operation is unique.  $\square$

**Definition 3.21.** *For two words  $u, w \in \Sigma^*$ , the binary word operation  $\bowtie_r^{-1}$  is defined as*

$$u \bowtie_r^{-1} w = \bigcup_{a \in \Sigma} \Sigma^* a (u (a \Sigma^*)^{-1} a)^{-1} w.$$

The definition of  $\bowtie_r^{-1}$  can be extended to languages by

$$L_1 \bowtie_r^{-1} L_2 = \bigcup_{u \in L_1, w \in L_2} \left( \bigcup_{a \in \Sigma} \Sigma^* a (u (a \Sigma^*)^{-1} a)^{-1} w \right).$$

We observe that, similar to insertion, deletion, and other binary word operations [141], the result of  $u \bowtie_r^{-1} w$  is in general a set of words (not necessarily a singleton word). In general, the operation  $\bowtie_r^{-1}$  can be used to recover the right operand of blending: The right operand (a word) belongs to the set obtained by applying  $\bowtie_r^{-1}$  to the other operand and one of the words in the result of blending.

For example, let  $\Sigma = \{a, b\}$ . We have that  $aabb \bowtie_r^{-1} aab = \Sigma^* aab \cup \Sigma^* ab \cup \Sigma^* b = \Sigma^* b$ . The result of blending  $aabb$  with  $ab$  is  $aabb \bowtie ab = \{ab, \underline{aab}, aabb\}$ . The right operand  $ab$  is an element of the set obtained by applying  $\bowtie_r^{-1}$  to the other operand and one of the words of the result of  $\bowtie$ :  $ab \in aabb \bowtie_r^{-1} \underline{aab} = \Sigma^* b$ .

We can show that the operation  $\bowtie_r^{-1}$  is the unique right-inverse of  $\bowtie$  [75].

**Proposition 3.22.** *The operation  $\bowtie_r^{-1}$  is the right-inverse of  $\bowtie$ .*

**Corollary 3.23.** *The operation  $\bowtie_r^{-1}$  is the unique right-inverse of the blending operation  $\bowtie$ .*

We also study the closure properties of the Chomsky families of languages under  $\bowtie_r^{-1}$ .

**Corollary 3.24.** *The families of regular and recursively enumerable languages are closed under the right-inverse of blending. Moreover, if  $L_1$  is an arbitrary language and  $L_2$  is a regular language, then  $L_1 \bowtie_r^{-1} L_2$  is regular; if  $L_1$  is a regular language and  $L_2$  is a context-free language, then  $L_1 \bowtie_r^{-1} L_2$  is context free.*

*Proof.* The proof follows from Proposition 3.22. The family of regular languages is closed under right quotient and catenation, and the family of context-free languages is closed under union, catenation, and left quotient with regular languages [141, 243], so the right-inverse of blending of a regular language with a context-free language is context free.  $\square$

A counterexample can be found to prove the following proposition [75].

**Proposition 3.25.** *The family of context-free languages is not closed under the right-inverse of blending.*

**Proposition 3.26.** *The family of context-sensitive languages is not closed under the right-inverse of blending.*

*Proof.* Let  $L_0$  be a recursively enumerable language over  $\Sigma$ , which is not context sensitive. It is known that a context-sensitive language  $L_1$  over  $\Sigma \cup \{a, b\}$  with  $a, b \notin \Sigma$  can be constructed such that  $L_1$  is a subset of  $\{a^i b \alpha \mid \alpha \in L_0, i \geq 0\}$  and, in addition, for every  $\alpha \in L_0$ , there is an  $i \geq 0$  such that  $a^i b \alpha \in L_1$  (see, for example, [243]).

The result now follows as  $(L_1 \bowtie_r^{-1} \{a^* b\}) \cap b \Sigma^* = \{b \alpha \mid b \notin \Sigma, \alpha \in L_0\} = b L_0$ , which is not context sensitive, and the family of context-sensitive languages is closed under intersection with regular languages.  $\square$

Next, we consider the left-inverse of blending. Similarly to Proposition 3.19, we can prove that:

**Proposition 3.27.** *If  $\oplus$  is a binary word operation with a right identity, then its left-inverse  $\oplus_l^{-1}$  is also a binary operation with a right identity.*

Define now the binary word operation  $w \bowtie_l^{-1} v = (v^r \bowtie_r^{-1} w^r)^r$ . The operation  $\bowtie_l^{-1}$  is the left-inverse of  $\bowtie$ , and this can be proved similarly to Proposition 3.22 by invoking the mirror image operation. Because all the families of languages in the Chomsky hierarchy are closed under mirror image, their closure properties under the left-inverse of blending are the same as their closure properties under the right-inverse of blending. Lastly, similar to Proposition 3.20, we can also prove that the left-inverse of a binary operation is unique, and, as a consequence, the operation  $\bowtie_l^{-1}$  is the unique left-inverse of the blending operation.

We now consider the iterated blending operation  $\bowtie_*$ . Recall that, as mentioned in Section 3.4, for every language  $L \subseteq \Sigma^*$ , the language  $L^{\bowtie_*}$  can be generated by a splicing system with null-context splicing rules. This connection, together with Proposition 3.16, allows us to express iterated blending using so-called simple splicing systems [184].

Recall that simple splicing schemes are splicing schemes with splicing rules of the form  $a \# \lambda \$ a \# \lambda$  for  $a \in \Sigma$ . Note that for two languages  $L_1$  and  $L_2$  over  $\Sigma$ , we now have that

$$L_1 \bowtie L_2 = \bigcup_{x \in L_1, y \in L_2} \sigma_{\bowtie}(x, y),$$

where  $\sigma_{\bowtie}$  is the simple splicing scheme  $\sigma_{\bowtie} = (\Sigma, R)$  with  $R = \{a \# \lambda \$ a \# \lambda \mid a \in \Sigma\}$ . Note that in a simple splicing scheme that expresses word blending, each and every letter of the alphabet must be used in a splicing rule. This observation, together with Proposition 3.16 which showed that the blending of two languages can be written as  $L_1 \bowtie L_2 = \bigcup_{a \in \Sigma} (L_1 (a \Sigma^*)^{-1r}) a ((\Sigma^* a)^{-1l} L_2)$ , gives us the following result.

**Proposition 3.28.** *For every language  $L \subseteq \Sigma^*$ , we have  $\sigma_{\bowtie}(L) = L \cup (L \bowtie L)$  and  $\sigma_{\bowtie}^*(L) = L^{\bowtie^*}$ .*

We note that the splicing scheme  $\sigma_{\bowtie}$  is finite, since the number of rules depends only on the number of symbols in  $\Sigma$ , and is unary (its rules use words of length at most 1). We also note that, even though in [184] consideration is restricted to the case when  $L$  is a finite language, the properties of the splicing systems obtained therein imply the following closure properties.

**Proposition 3.29.** *The families of regular, context-free, and recursively enumerable languages are closed under iterated blending.*

It was shown in [184] that the class of languages generated by simple splicing systems is a subclass of the class of strictly locally testable languages, which is a subregular language class. The authors also showed that the class of languages generated by simple splicing systems contains the class of finite languages. This is done by constructing a simple splicing system with a finite language  $L$  as the initial language and introducing a new alphabet symbol to be used with a splicing rule. The effect is that no splicing can be performed in this system since no words in  $L$  contain the new symbol, so no new words are generated. This approach does not work in the case of iterated blending because we cannot restrict the use of blending, which must occur whenever two words have a one-letter overlap. The following example shows that, even though iterated blending is related to simple splicing, there are differences between the two: In contrast to the case of simple splicing (whereby every finite language can be generated by a simple splicing scheme), there exist finite languages that cannot be generated via iterated blending.

For example, let  $L = \{aa\}$ . We will show that  $L$  cannot be generated via iterated blending. Suppose that there exists a language  $B$  such that  $B^{\bowtie^*} = L$ . Then there exist words  $u, v \in B$  such that  $aa \in u \bowtie v$ . This means either  $u = aa u'$  and  $v = v' a$  for some  $u', v' \in \Sigma^*$  or  $u = a u'$  and  $v = v' aa$  for some  $u', v' \in \Sigma^*$ . In either case, together with  $aa \in B^{\bowtie^*}$ , we have  $a^+ \subseteq B^{\bowtie^*} = L$ , which is a contradiction.

### 3.4.2 Decision problems

This section investigates some decision problems related to the blending operation, such as the existence of solutions to language equations of the type  $X \bowtie L = R$  and  $L \bowtie Y = R$  (where  $L, R$  are given known languages and  $X, Y$  are unknown languages), the closure of languages under  $\bowtie_*$ , and the existence of a (finite) language base for a given language.

We also show that, for a given alphabet, there exist finitely many languages that can be obtained by iterated blending from an initial language.

Consider the question whether or not there exists a (singleton) solution to language equations of the type  $X \bowtie L = R$  and  $L \bowtie Y = R$  (where  $L, R$  are given known languages and  $X, Y$  are unknown languages), and we have the following results [75].

**Proposition 3.30.** *The existence of a solution  $Y$  to the equation  $L \bowtie Y = R$  is decidable for the given regular languages  $L$  and  $R$ .*

We note that the solution to a language equation of the type  $L \bowtie Y = R$  does not need to be unique.

For example, let  $\Sigma = \{a, b\}$ . The equation  $\{a^n b^n | n \geq 0\} \bowtie Y = a^+ b^+$  has the maximal solution  $Y_{\max} = a^* b^+ \cup \{\lambda\}$ , but it also has the solution  $Y = b^+ \subset Y_{\max}$ .

As another example, the equation  $\{a^n b^n | n \geq 0\} \bowtie Y = a^+$  has the maximal solution  $Y_{\max} = (\{a^n b^n | n \geq 0\} \bowtie_r^{-1} (a^+)^c)^c = (\{a^n b^n | n \geq 0\} \bowtie_r^{-1} (\{\lambda\} \cup \Sigma^* b \Sigma^*))^c = (\{a^n b^n | n \geq 0\} \bowtie_r^{-1} \Sigma^* b \Sigma^*)^c = (\Sigma^* b \Sigma^*)^c = a^*$ , but it also has the solution  $Y = a^+ \subset Y_{\max}$ .

**Proposition 3.31.** *The existence of a singleton solution  $\{w\}$  to the equation  $L \bowtie \{w\} = R$  is decidable for regular languages  $L$  and  $R$ .*

**Proposition 3.32.** *The existence of a singleton solution  $\{w\}$  to the equation  $L \bowtie \{w\} = R$  is undecidable for regular languages  $R$  and context-free languages  $L$ .*

**Corollary 3.33.** *The existence of a solution  $Y$  to the equation  $L \bowtie Y = R$  is undecidable for regular languages  $R$  and context-free languages  $L$ .*

**Proposition 3.34.** *The existence of a (singleton) solution  $X$  to the equation  $X \bowtie L = R$  is decidable for regular languages  $L$  and  $R$ , and it is undecidable for regular languages  $R$  and context-free languages  $L$ .*

Next, we consider the decidability of the question of whether a language is closed under iterated blending.

**Proposition 3.35.** *Let  $L$  be a regular language. It is decidable whether or not  $L$  is closed under  $\bowtie_*$ .*

*Proof.* By Proposition 3.28 and [221], we can construct an NFA  $A'$  that recognizes  $L^{\bowtie_*}$ . The testing equivalence of two NFAs is known to be decidable [112], so testing whether  $L = L^{\bowtie_*}$  is decidable.  $\square$

**Proposition 3.36.** *It is undecidable whether or not  $L$  is closed under  $\bowtie_*$ , where  $L$  is context free.*

*Proof.* Assume the contrary. Under this assumption, given an arbitrary context-free language  $L$  over an alphabet  $\Sigma$ , and a letter  $\#$  not in  $\Sigma$ , we claim that the context-free language  $B = \#L(\#\Sigma^*)^*$  is closed under  $\bowtie_*$  if and only if  $L = \Sigma^*$  or  $L = \emptyset$ .

It is clear that if  $L = \Sigma^*$  or  $L = \emptyset$ , then  $B$  is closed under  $\bowtie_*$ . Now, we consider the other implication and assume that  $B$  is closed under  $\bowtie_*$ . If  $B = \emptyset$ , then  $L = \emptyset$ . If  $B \neq \emptyset$ , then  $L \neq \emptyset$ . Consider the languages  $\#L$  and  $\#L(\#\Sigma^*)^+$ , both included in  $B$ . As  $B$  is closed under  $\bowtie_*$ , the blending of these two languages should be included in  $B^{\bowtie^*}$ , that is,  $\#L \bowtie \#L(\#\Sigma^*)^+ = (\#\Sigma^*)^+ \subseteq B^{\bowtie^*}$ . Thus,  $B = (\#\Sigma^*)^+$ , and this implies that  $L = \Sigma^*$ .

Thus, if we could decide the problem in the proposition, since emptiness is decidable for context-free languages [112], we would be able to decide whether or not  $L = \Sigma^*$  for arbitrary context-free languages  $L$ , which is impossible [112].  $\square$

Let  $L, B \subseteq \Sigma^*$  be two languages. We say that  $B$  is a *base* of  $L$  (with respect to  $\bowtie_*$ ) if  $L = B^{\bowtie^*}$ . In [184], it is shown that it is decidable whether or not a regular language is generated by a simple splicing scheme and a finite language base, and we can prove similar results with respect to  $\bowtie_*$ .

Note that a language  $L$  is closed under  $\bowtie_*$  if and only if it has a base with respect to  $\bowtie_*$ . If  $L$  is closed under  $\bowtie_*$ ,  $L$  is a base for itself. Otherwise, if  $L$  is not closed under  $\bowtie_*$ , it does not have a base. Indeed, if it had a base  $B$ , we would have that  $L = B^{\bowtie^*} = (B^{\bowtie^*})^{\bowtie^*} = L^{\bowtie^*}$ , which is a contradiction.

A language  $L$  is said to be an *iterated blending language* if it can be generated by iterated blending, that is, if there exists a base  $B$ , such that  $L = B^{\bowtie^*}$ . Some languages are iterated blending languages and some are not, as shown by the following examples.

Let  $\Sigma = \{0, 1\}$ . The language  $L_1 = \Sigma^*0$ , which consists of the binary representations of all even natural numbers, is an iterated blending language because it can be generated by applying iterated blending to the base  $B_1 = L_1$  or to the finite base  $B_2 = \{110, 100, 010, 000\}$ . On the other hand, the language  $L_2$ , consisting of the binary representations of all prime numbers, is not an iterated blending language because it is not closed under  $\bowtie_*$ .

Proposition 3.35 and Proposition 3.36 can now be rephrased as follows: The question of whether or not a language  $L$  is an iterated blending language (has a base) is decidable if  $L$  is regular, and it is undecidable if  $L$  is context free. The next proposition answers the analogous question regarding the existence of a finite base.

**Proposition 3.37.** *The question of whether or not a language  $L$  has a finite base with respect to  $\bowtie_*$  is decidable if  $L$  is regular, and it is undecidable if  $L$  is context free.*

*Proof.* The proof is the same as that of the question of whether or not a language  $L$  can be generated by a simple splicing system, which was proved to be decidable if  $L$  is regular and undecidable if  $L$  is context free [184].  $\square$

A similar proof idea can also be used to prove the following result, showing that a language has a base if and only if it has a finite base.

**Proposition 3.38.** *Let  $L \subseteq \Sigma^*$  be an arbitrary language. There exists a language  $R \subseteq \Sigma^*$  such that  $L = R^{\bowtie*}$  if and only if  $L = B^{\bowtie*}$ , where  $B = L \cap \{w \in \Sigma^* \mid |w|_a \leq 2 \text{ for all } a \in \Sigma\}$ .*

*Proof.* It is clear that if  $L = B^{\bowtie*}$ , then there exists a language  $R \subseteq \Sigma^*$  such that  $L = R^{\bowtie*}$ . For the other implication, assume that there exists a language  $R \subseteq \Sigma^*$  such that  $L = R^{\bowtie*}$ . Since  $L = R^{\bowtie*}$ , by definition,  $R$  is a base for  $L$  with respect to  $\bowtie_*$ . Therefore,  $L$  is closed under  $\bowtie_*$ , and  $L^{\bowtie*} = L = R^{\bowtie*}$ .

Let  $w \in L$  such that there exists  $a \in \Sigma$  with  $|w|_a \geq 3$ , and let  $S_w^0 = \{w\}$ . Since  $|w|_a \geq 3$ , the word  $w$  can be decomposed as  $w = w_1aw_2aw_3aw_4$ , where  $w_1 \in \Sigma^*$  and  $w_2, w_3, w_4 \in (\Sigma \setminus \{a\})^*$ . Consider the words  $w' = w_1aw_2aw_4$  and  $w'' = w_1aw_3aw_4$ . It is clear that  $w \in w' \bowtie w''$ , that  $w' \in w \bowtie w \subseteq L$ , and that  $w'' \in w \bowtie w \subseteq L$ .

Consider now the set  $S_w^1 = (S_w^0 \setminus \{w\}) \cup \{w', w''\}$ . We have that  $w \in (S_w^1)^{\bowtie*}$ ,  $(S_w^1)^{\bowtie*} \subseteq L^{\bowtie*}$ , and  $|w'|_a = |w''|_a = |w|_a - 1$ . If there exists a word in  $S_w^1$  wherein the number of occurrences of  $a$  is at least 3, then we repeat the process for this word to obtain a new set; otherwise, choose another letter  $b \in \Sigma \setminus \{a\}$ , and repeat the process. By repeating this process, after a finite number of steps, we obtain a set  $S_w$  such that  $S_w \subseteq B$ , where  $B = L \cap \{w \mid |w|_a \leq 2 \text{ for all } a \in \Sigma\}$ . Moreover,  $w \in S_w^{\bowtie*}$ ,  $S_w^{\bowtie*} \subseteq B^{\bowtie*}$ , and  $S_w^{\bowtie*} \subseteq L$ . It is clear that

$$\bigcup_{w \in L \setminus B} S_w \cup \{w \in L \mid |w|_a \leq 2 \text{ for all } a \in \Sigma\} = B.$$

We claim that  $B^{\bowtie*} = L$ . Indeed, since  $B \subseteq L$  and  $L$  is closed under  $\bowtie_*$ , we have that  $B^{\bowtie*} \subseteq L$ . For the other inclusion, if  $w \in L$  and  $|w|_a \leq 2$  for all  $a \in \Sigma$ , then  $w \in B \subseteq B^{\bowtie*}$ . Otherwise, that is, if  $w \in L$  but  $w$  has at least three occurrences of  $a$  for some  $a \in \Sigma$ , we have that  $w \in S_w^{\bowtie*} \subseteq B^{\bowtie*}$ . This proves that  $L \subseteq B^{\bowtie*}$ .  $\square$

**Corollary 3.39.** *Given a language  $L \subseteq \Sigma^*$ , the following are equivalent:*

- $L$  is closed under iterated blending.
- $L$  is an iterated blending language.
- $L$  has a base  $R$  with respect to iterated blending, i.e., such that  $R^{\boxtimes*} = L$ .
- $L$  has a finite base  $B$  with respect to iterated blending, i.e., such that  $B^{\boxtimes*} = L$ .

**Corollary 3.40.** *For an arbitrary language  $R \subseteq \Sigma^*$ ,  $R^{\boxtimes*}$  is regular. All the families of languages in the Chomsky hierarchy are closed under  $\boxtimes_*$ .*

**Corollary 3.41.** *Given an alphabet  $\Sigma$ , there are finitely many iterated blending languages over  $\Sigma$ .*

*Proof.* Consider an alphabet  $\Sigma$  of cardinality  $n$ . Every word of length at least  $2n + 1$  must have a letter repeated at least 3 times, so there are at most  $\sum_{i=0}^{2n} n^i$  different words containing each letter at most twice. Therefore, by Proposition 3.38, there are at most  $2^{\sum_{i=0}^{2n} n^i}$  different bases, and thus there are finitely many iterated blending languages.  $\square$

### 3.4.3 State complexity

By Proposition 3.16, the family of regular languages is closed under blending. Thus, we can consider the state complexity of blending on two regular languages. Recall from Proposition 3.16 that the blending of two languages can be expressed as a series of union, catenation, and quotient operations. While the state complexity of each of these operations is known, the state complexity of a combination of operations is not necessarily the same as the composition of the state complexities of the operations [245].

We construct a DFA that recognizes the language of the blending of the two languages  $L_m$  and  $L_n$ , recognized respectively by DFAs  $A_m = (Q_m, \Sigma, s_m, F_m, \delta_m)$  and  $A_n = (Q_n, \Sigma, s_n, F_n, \delta_n)$ . We construct a DFA  $A' = (Q', \Sigma, s', F', \delta')$ , where

- $Q' = Q_m \times 2^{Q_n}$ ;
- $s' = (s_m, \emptyset)$ ;
- $F' = \{(q, P) \in Q_m \times 2^{Q_n} \mid P \cap F_n \neq \emptyset\}$ ; and



- $\delta'((q, P), a) = (\delta_m(q, a), P')$  for  $a \in \Sigma$ , where

$$P' = \begin{cases} \bigcup_{p \in P} \delta_n(p, a) & \text{if } \delta_m(q, a) \text{ is the sink state,} \\ \bigcup_{p \in Q_n} \delta_n(p, a) & \text{otherwise.} \end{cases}$$

Each state of  $A'$  is a pair consisting of a state of  $A_m$  and a subset of states of  $A_n$ . Informally, we can divide the computation of a word into two phases. In the first phase, states of the form  $(q, P)$  are reached where  $q$  is not the sink state of  $A_m$ . Here, the set  $P$  is determined solely by the input symbol as the machine tries to guess the symbol on which the blending occurs. In the second phase, the machine reaches states  $(q_\emptyset, P)$ , where  $q_\emptyset$  is the sink state of  $A_m$ . The second phase only occurs when the blending occurs, and the input that has been read is no longer a prefix of a word recognized by  $A_m$ . In this phase, the set  $P$  is determined by the transition function of  $A_n$ . It follows from this construction that  $A'$  recognizes the language  $L_m \bowtie L_n$ .

A simple count shows that the number of states in the state set of  $A'$  is  $m \cdot 2^n$ . We will show that, depending on the size of the alphabet, not all of these states are necessarily reachable. First, we consider the case where the alphabet is unary.

**Proposition 3.42.** *Let  $L_m$  and  $L_n$  be regular languages defined over a unary alphabet such that  $L_m$  is recognized by an  $m$ -state DFA, and  $L_n$  is recognized by an  $n$ -state DFA. Then the state complexity of  $L_m \bowtie L_n$  is  $m + n - 2$  if both  $L_m$  and  $L_n$  are finite or 2 otherwise. Furthermore, this bound is reachable.*

*Proof.* Recall that by Proposition 3.16,  $L_m \bowtie L_n = (L_m(a^+)^{-1r})a((a^+)^{-1l}L_n)$ . If either  $L_m$  or  $L_n$  is infinitely large, then we have  $L_m \bowtie L_n = a^+$ , in which case the state complexity of  $L_m \bowtie L_n$  is 2. If both  $L_m$  and  $L_n$  are finite, then it is easy to see that the state complexity of  $L_m \bowtie L_n$  is  $m + n - 2$ .  $\square$

Now, we consider the state complexity when the languages are defined over alphabets of a size greater than 1.

**Lemma 3.43.** *The DFA  $A'$  requires at most  $(m - 1) \cdot (k - 1) + 2^n + 1$  states, where  $k = |\Sigma| \leq 2^n$ .*

**Lemma 3.44.** *Let  $m, n \geq 3$  and  $4 \leq k < 2^n$ . There exist families of DFAs  $A_m$  with  $m$  states and  $B_n$  with  $n$  states defined over an alphabet with  $k$  letters such that a DFA recognizing  $A_m \bowtie B_n$  requires at least  $(m - 1) \cdot (k - 1) + 2^n + 1$  states.*

*Proof.* Let  $\Sigma = \{a_1, \dots, a_{k-2}, b, c\}$ . We define the DFAs  $A_m$  and  $B_n$  over  $\Sigma$ .

Let  $A_m = (Q_m, \Sigma, s_m, F_m, \delta_m)$ , where  $Q_m = \{0, \dots, m-1\}$ ,  $s_m = 0$ , and  $F_m = \{m-2\}$ . We define the transition function  $\delta_m$  by

- $\delta_m(p, a_i) = p$  for all  $0 \leq p \leq m-2$  and  $1 \leq i \leq k-2$ ;
- $\delta_m(p, b) = p+1$  for  $0 \leq p \leq m-2$ ;
- $\delta_m(p, c) = m-1$  for  $0 \leq p \leq m-2$ ; and
- $\delta_m(m-1, a) = m-1$  for all  $a \in \Sigma$ .

The DFA  $A_m$  is shown in Figure 3.4.

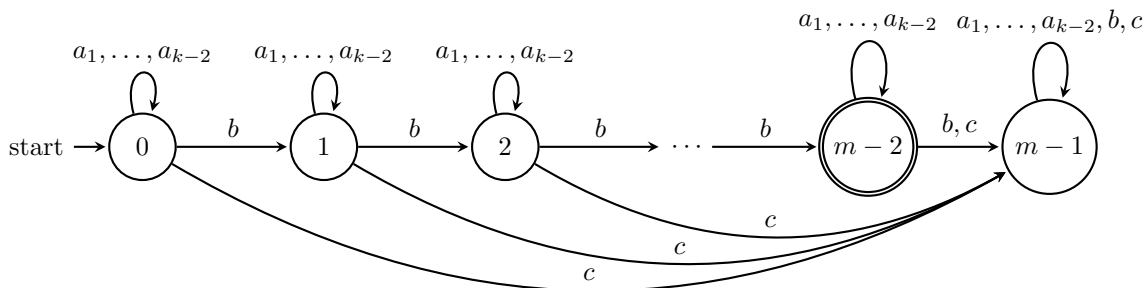


Figure 3.4: The DFA  $A_m$ .

Let  $B_n = (Q_n, \Sigma, s_n, F_n, \delta_n)$ , where  $Q_n = \{0, \dots, n-1\}$ ,  $s_n = 0$ , and  $F_n = \{n-1\}$ . We define the transition function  $\delta_n$  by

- $\delta_n(q, b) = q+1 \pmod n$  for  $0 \leq q \leq n-1$ ; and
- $\delta_n(q, c) = q$  for  $0 \leq q \leq n-1$ .

For transitions on symbols  $a_i$  with  $1 \leq i \leq k-2$ , we define an enumeration of the subsets of  $Q_n$  and let  $Q_n[i]$  be the  $i^{\text{th}}$  subset of  $Q_n$ . Every arbitrary enumeration of the subsets of  $Q_n$  suffices for this proof subject to the condition that:

- for  $0 \leq i \leq k-2$ , each  $i$  corresponds to a distinct subset of  $Q_n$  (that is,  $Q_n[i] \neq Q_n[j]$  if and only if  $i \neq j$  for  $0 \leq i, j \leq k-2$ ); and

- we reserve the following:  $Q_n[0] = Q_n$ ,  $Q_n[1] = \{0, 1, \dots, n - 2\}$ ,  $Q_n[2] = \{0\}$ .

Also note that while we have defined  $Q_n[0]$ , there are no symbols  $a_0$ . We will show later that, by our definitions, the role of  $a_0$  will be played by  $b$ . If  $k > 2^n$ , then this property cannot hold, but it is clear that we can enumerate all  $2^n$  subsets of  $Q_n$ .

Then we define transitions on  $a_i \in \Sigma$  by

$$\delta_n(q, a_i) = \begin{cases} q & \text{if } q \in Q_n[i], \\ (q + \min_{(q+j \bmod n) \in Q_n[i]} j) \bmod n & \text{if } q \notin Q_n[i]. \end{cases}$$

In other words, for each state  $q \in Q_n$ , the transition on the symbol  $a_i$  goes to the “next” state that is in  $Q_n[i]$ . If  $q \in Q_n[i]$ , then that  $q$  itself is the “next” state.

The DFA  $B_3$  is shown in Figure 3.5, with  $Q_3[i]$  defined for  $0 \leq i \leq 6$  as follows:

$$\begin{aligned} Q_3[0] &= \{0, 1, 2\}, & Q_3[2] &= \{0\}, & Q_3[3] &= \{1\}, \\ Q_3[1] &= \{0, 1\}, & Q_3[5] &= \{0, 2\}, & Q_3[6] &= \{1, 2\}, \\ Q_3[4] &= \{2\}, & & & & \end{aligned}$$

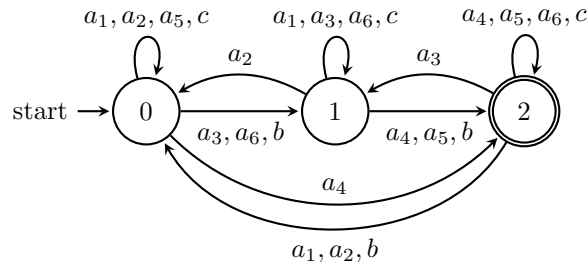


Figure 3.5: The DFA  $B_3$ .

We will show that  $A'$  contains  $(m - 1) \cdot (k - 1) + 2^n + 1$  reachable and distinguishable states.

First, to show that the states are reachable, we note that  $s' = (s_m, \emptyset)$  is clearly reachable as the initial state. Then, we observe that for  $1 \leq i \leq k - 2$ , the state  $(q, Q_n[i])$  with  $q \in Q_m \setminus \{m - 1\}$  is reachable on the word  $b^q a_i$ , and  $(q, Q_n[0])$  is reachable on the word  $b^q$ . Since the only symbol not used here is  $c$ , this gives us  $(m - 1) \cdot (k - 1)$  states.

Now we consider states of the form  $(m-1, P)$ , where  $P \subseteq Q_n$ . Observe that  $(m-1, Q_n)$  can be reached on the word  $b^{m-1}$ . Also, note that  $(m-1, \emptyset)$  can be reached on the letter  $c$  from  $(0, \emptyset)$ .

Next, we will show that all states of the form  $(m-1, P)$ , where  $P = Q_n \setminus T$ , for some  $T \subseteq Q_n$ , are reachable from  $(m-1, Q_n)$  by induction on  $|T|$ . First, consider  $|T| = 1$ ,  $T = \{t\}$ ,  $0 \leq t \leq n-1$ . Then, we have  $(m-1, Q_n) \xrightarrow{a_1 b^{t+1}} (m-1, Q_n \setminus \{t\})$ .

Assume that all states  $(m-1, Q_n \setminus T')$  are reachable from  $(m-1, Q_n)$ , where  $u = |T'| \geq 1$ . We will show that all states  $(m-1, Q_n \setminus T)$  are reachable from  $(m-1, Q_n)$ , where  $|T| = u+1 < |Q_n|$ . Let  $P = Q_n \setminus T = \{t_1, t_2, \dots, t_{l-1}\}$ , where elements in  $P$  are in ascending order. If  $t_1 = 0$ ,  $t_{l-1} \neq n-1$ , then we have

$$(m-1, \{0, t_2, \dots, t_{l-1}, n-1\}) \xrightarrow{a_1} (m-1, \{0, t_2, \dots, t_{l-1}\}) = (m-1, P). \quad (3.1)$$

Thus,  $(m-1, P)$  is reachable from the state  $(m-1, P \cup \{n-1\})$ , which is reachable from  $(m-1, Q_n)$  by assumption.

If  $t_1 = 0$  and  $t_{l-1} = n-1$ , there exists a largest integer  $v \notin P$ , where  $1 \leq v < n-1$ , then we have

$$(m-1, \{w + n - v - 1 \bmod n \mid w \in P\}) \xrightarrow{b^{v+1}} (m-1, P).$$

Thus,  $(m-1, P)$  is reachable from  $(m-1, Q_n)$  by Equation 3.1.

If  $t_1 > 0$ , then we have

$$(m-1, \{0, t_2 - t_1, \dots, t_{l-1} - t_1\}) \xrightarrow{b^{t_1}} (m-1, \{t_1, t_2, \dots, t_{l-1}\}).$$

That is,  $(m-1, P)$  is reachable from  $(m-1, Q_n)$  by Equation 3.1. Thus, all states  $(m-1, Q_n \setminus T)$  with  $|T| = u+1$  are reachable.

Thus, we have an additional  $2^n$  reachable states of the form  $(m-1, P)$ , giving us a total of  $(m-1) \cdot (k-1) + 2^n + 1$  reachable states.

Next, we will show that these states are pairwise distinguishable. Consider two states  $(q, P)$  and  $(q', P')$ . First, we consider when  $P \neq P'$ . In this case, reading  $c$  takes the state  $(q, P)$  to  $(m-1, P)$  and  $(q', P')$  to  $(m-1, P')$ . Without loss of generality, there exists an element  $t \in P$  such that  $t \notin P'$ . Then these states are distinguished by the word  $b^{n-1-t}$ .

Now, fix  $P = P'$  and assume without loss of generality that  $q > q'$ . First, suppose  $q < m-1$ . Then we have

$$(q, P) \xrightarrow{b^{m-1-q}} (m-1, Q_n[0]) \xrightarrow{a_2} (m-1, Q_n[2]) \xrightarrow{a_1} (m-1, \{0\}).$$

Recall that we had defined  $Q_n[2] = \{0\}$ . Now, since  $q > q'$ , we have  $m - 1 - q + q' < m - 1$ . Let  $q'' = m - 1 - q + q'$ , and we have

$$(q', P') \xrightarrow{b^{m-1-q}} (q'', Q_n[0]) \xrightarrow{a_2} (q'', Q_n[2]) \xrightarrow{a_1} (q'', Q_n[1]).$$

Since  $Q_n[1] \neq \{0\}$ , the two states are now distinguishable by the prior case.

Now, suppose  $q = m - 1$ . Then we have

$$(q, P) = (m - 1, P) \xrightarrow{a_2} (m - 1, Q_n[2]) = (m - 1, \{0\}) \xrightarrow{a_1} (m - 1, \{0\})$$

and

$$(q', P') = (q', P) \xrightarrow{a_2} (q', Q_n[2]) \xrightarrow{a_1} (q', Q_n[1]).$$

Again, since  $Q_n[1] \neq \{0\}$ , the two states are now distinguishable by the prior case.

Thus, we have shown that all  $(m - 1) \cdot (k - 1) + 2^n + 1$  states are reachable and pairwise distinguishable.  $\square$

These results together give us the following theorem.

**Theorem 3.45.** *Let  $A_m$  be a DFA with  $m$  states recognizing the language  $L_m$  and let  $A_n$  be a DFA with  $n$  states recognizing the language  $L_n$ , where  $L_m$  and  $L_n$  are defined over an alphabet  $\Sigma$  of size  $k$ , and  $m, n \geq 3$ . Then the state complexity of  $L_m \bowtie L_n$  is  $(m - 1) \cdot (k - 1) + 2^n + 1$  if  $4 \leq k < 2^n$ , and  $(m - 1) \cdot (2^n - 1) + 2^n + 1$  if  $k \geq 2^n$ , and this bound can be reached in the worst case.*

## 3.5 Conjugate word blending

As shown in Definition 3.14, word blending allows  $\gamma_1$  and  $\gamma_2$  to be different strings. As a step towards a formal model that is closer to the XPCR process experimentally observed in [83], we now require that  $\gamma_1 = \gamma_2$ ,  $\gamma_1 \neq \lambda$ , and  $\gamma_2 \neq \lambda$ , and the *conjugate word blending* of two words is defined as follows.

**Definition 3.46.** *Given two words  $x$  and  $y$  over an alphabet  $\Sigma$ , the conjugate word blending of  $x$  with  $y$  is defined as*

$$x \bowtie y = \{\alpha w \beta \mid x = \alpha w \gamma, y = \gamma w \beta, \alpha, \beta \in \Sigma^*, \gamma, w \in \Sigma^+\}.$$

The term “conjugate word blending” alludes to the fact that the common segments of the operands,  $w\gamma$  and  $\gamma w$ , are conjugate words (a word  $u$  is a conjugate of a word  $v$  if  $u$  can be obtained from  $v$  by cyclically shifting its letters [239]). We can extend this word operation to languages in the natural way:

$$L_1 \bowtie L_2 = \bigcup_{x \in L_1, y \in L_2} (x \bowtie y).$$

As an example, if  $u = 1010101$  and  $v = 10101$ , then  $u \bowtie v = \{10101\underline{0}101, 101\underline{0}101, 101\underline{0}1\}$  (the underlined subwords are the corresponding overlaps  $w$ ). If  $\Sigma$  is an alphabet, and  $a \in \Sigma$ , then  $\Sigma^* \bowtie \Sigma^* = \Sigma^+$ ,  $\Sigma^* \bowtie \{aa\} = \Sigma^*a$ , and  $\{aa\} \bowtie \Sigma^* = a\Sigma^*$ . As this example shows, the conjugate word blending operation is not commutative.

As with the original version of word blending in Section 3.4, we can express the conjugate word blending operation as a splicing scheme. The connection between splicing and word blending was shown in Section 3.4, where it was proved that word blending  $\bowtie$  can be expressed as one step of the splicing scheme consisting of the rules

$$R_{\bowtie} = \{a\#\lambda\$a\#\lambda \mid a \in \Sigma\}.$$

It is not difficult to see that the conjugate word blending operation cannot be expressed in the same way. Conjugate word blending can be thought of as a single step of a splicing scheme with the following set of rules

$$R_{\bowtie} = \{w\#\gamma\$ \gamma w\#\lambda \mid w, \gamma \in \Sigma^+\}.$$

However, observe that this splicing scheme is not regular. In fact, it is context sensitive. If we apply a morphism  $\varphi$  that erases  $\#$  and  $\$$ , we get

$$\varphi(R_{\bowtie}) = \{w\gamma\gamma w \mid w, \gamma \in \Sigma^+\},$$

which is not context free. This suggests that the closure properties of the conjugate word blending operation may be different from the original version of the word blending operation.

We now investigate the closure properties of the main Chomsky families of languages under conjugate word blending. We first show that we can construct a nondeterministic finite automaton that recognizes the conjugate word blending of two regular languages.

**Proposition 3.47.** *Given two NFAs  $A$  and  $B$ , we can effectively construct an NFA  $C$  such that  $L(C) = L(A) \bowtie L(B)$ .*

*Proof.* Consider states  $p \in Q_A$  and  $q \in Q_B$  and NFAs  $A = (Q_A, \Sigma, s_A, F_A, \delta_A)$  and  $B = (Q_B, \Sigma, s_B, F_B, \delta_B)$ . We define the following two languages:

$$L(A_p) = \{w \in \Sigma^+ \mid \delta_A(p, w) \cap F_A \neq \emptyset\} \text{ and}$$

$$L(qB) = \{w \in \Sigma^+ \mid q \in \delta_B(s_B, w)\}.$$

We can now construct the NFA  $C = (Q', \Sigma, s', F', \delta')$  that accepts exactly the language  $L(A) \bowtie L(B)$ , as follows. The sets of states of the NFA  $C$  is  $Q' = Q_A \cup (Q_A \times Q_B \times Q_B) \cup Q_B$ , the initial state is  $s' = s_A$ , and the set of final states is  $F' = F_B$ . The transition function  $\delta' : Q' \times \Sigma \cup \{\lambda\} \rightarrow 2^{Q'}$  is constructed as follows:

1.  $\delta'(p, a) = \delta_A(p, a) \cup \{\langle p', q', r' \rangle \mid p' \in \delta_A(p, a), q' \in \delta_B(r', a), r' \in Q_B\}$  for all  $p \in Q_A$ , and  $a \in \Sigma$ ;
2.  $\delta'(\langle p, q, r \rangle, a) = \{\langle p', q', r' \rangle \mid p' \in \delta_A(p, a), q' \in \delta_B(q, a)\}$  for all  $p \in Q_A, q, r \in Q_B$ , and  $a \in \Sigma$ ;
3.  $\delta'(\langle p, q, r \rangle, \lambda) = \{q\}$  for all  $p \in Q_A$  and  $q, r \in Q_B$  for which  $L(A_p) \cap L(rB) \cap \Sigma^+ \neq \emptyset$ ; and
4.  $\delta'(q, a) = \delta_B(q, a)$  for all  $q \in Q_B$  and  $a \in \Sigma$ .

The idea behind this construction is that for a word  $\alpha w \beta \in \alpha w \gamma \bowtie \gamma w \beta$ , the states in  $Q_A$  are used for the derivation of  $\alpha$ , the states in  $Q_B$  are used for the derivation of  $\beta$ , and the states in  $Q_A \times Q_B \times Q_B$  are used for the derivation of  $w$ , as follows. If the NFA  $C$  is in a state from  $Q_A$  and reads a letter, it nondeterministically decides the letter is in  $\alpha$  or the letter is the first letter of  $w$  by transitions of type 1. If the state  $\langle p, q, r \rangle$  is reached after a transition of type 1, we assume that the state of  $B$  after reading  $\gamma$  is  $r$ , and the state of  $A$  (respectively  $B$ ) after reading the first letter of  $w$  is  $p$  (respectively  $q$ ). Transitions of type 2 simulate the simultaneous processing, by both  $A$  and  $B$ , of letters from  $w$ . By transitions of type 3, the NFA  $C$  checks if the non-empty subword  $\gamma$  exists, and, if it does, it continues with the derivation of  $\beta$  according to transitions of type 4.

Let us now prove that  $L(A) \bowtie L(B) \subseteq L(C)$ . Consider a word  $z \in L(A) \bowtie L(B)$  with  $z = \alpha w \beta$ , where  $x = \alpha w \gamma \in L(A)$ ,  $y = \gamma w \beta \in L(B)$ , and  $\gamma \in \Sigma^+$ . Now, write  $w = aw'$  for  $a \in \Sigma$  and  $w' \in \Sigma^*$ . Since  $x \in L(A)$ , there must be a path in  $A$ :

$$s_A \xrightarrow{\alpha} p_1 \xrightarrow{a} p_2 \xrightarrow{w'} p_3 \xrightarrow{\gamma} p_4, \text{ where } p_4 \in F_A.$$

Similarly, since  $y \in L(B)$ , there must be a path in  $B$ :

$$s_B \xrightarrow{\gamma} q_1 \xrightarrow{a} q_2 \xrightarrow{w'} q_3 \xrightarrow{\beta} q_4, \text{ where } q_4 \in F_B.$$

From this, we will show that there exists an accepting computation path for  $z$  in  $C$ :

$$s' = s_A \xrightarrow{\alpha} p_1 \xrightarrow{a} \langle p_2, q_2, q_1 \rangle \xrightarrow{w'} \langle p_3, q_3, q_1 \rangle \xrightarrow{\lambda} q_3 \xrightarrow{\beta} q_4,$$

where  $q_4 \in F_B = F'$ .

More precisely, we observe that at the beginning of the blending on  $a$ , we have that  $\langle p_2, q_2, q_1 \rangle \in \delta'(p_1, a)$  since  $q_2 \in \delta_B(q_1, a)$ . Since  $p_4 \in \delta_A(p_3, \gamma)$ ,  $p_4 \in F_A$ ,  $q_1 \in \delta_B(s_B, \gamma)$ , and  $\gamma \in \Sigma^+$ , we have  $\gamma \in L(A_{p_3})$  and  $\gamma \in L(q_1 B)$ , so we have  $\gamma \in L(A_{p_3}) \cap L(q_1 B) \cap \Sigma^+$ . Therefore,  $q_3 \in \delta'(\langle p_3, q_3, q_1 \rangle, \lambda)$ . Thus, we have shown that  $z \in L(C)$ , and consequently  $L(A) \bowtie L(B) \subseteq L(C)$ .

Now we show that  $L(C) \subseteq L(A) \bowtie L(B)$ . Let  $z \in L(C)$ . Then there exists a path on  $z$  in  $C$  from  $s_A$  to a state in  $F_B$ . Recall that there are three types of states in  $C$ : states of  $A$  from  $Q_A$ ; triples of states  $\langle p, q, r \rangle$ , where  $p \in Q_A$  and  $q, r \in Q_B$ ; and states of  $B$  from  $Q_B$ . The definition of  $C$  implies that every accepting computation of a word  $w$  in  $C$  must contain all three types of states, in this order. Then we can consider an accepting path for  $z = \alpha aw' \beta$ , where  $\alpha, \beta, w' \in \Sigma^*$  and  $a \in \Sigma$ , by

$$s' = s_A \xrightarrow{\alpha} p_1 \xrightarrow{a} \langle p_2, q_2, q_1 \rangle \xrightarrow{w'} \langle p_3, q_3, q_1 \rangle \xrightarrow{\lambda} q_3 \xrightarrow{\beta} q_4 \in F_B = F'.$$

In this path,  $p_1$  is the last state of  $A$  that occurs,  $\langle p_2, q_2, q_1 \rangle$  is the first triple that occurs,  $\langle p_3, q_3, q_1 \rangle$  is the final triple that occurs,  $q_3$  is the first state of  $B$  that occurs, and  $q_4$  is an accepting state of  $C$ , which by definition is an accepting state of  $B$ .

From the definition of the transition function, it is clear that the words  $\alpha$ ,  $\alpha a$ , and  $\alpha aw'$  are all prefixes of a word in  $L(A)$  and the words  $\beta$  and  $w' \beta$  are all suffixes of a word in  $L(B)$ .

The final observation is that we need to consider transitions from  $\langle p_3, q_3, q_1 \rangle$  to  $q_3$  on the empty word  $\lambda$ . Such a transition can only occur if there exists a non-empty word  $\gamma \in L(A_{p_3}) \cap L(q_1 B) \cap \Sigma^+$ . From this, we have  $\alpha aw' \gamma \in L(A)$  since  $p_3 \in \delta_A(s_A, \alpha aw')$  and  $\delta_A(p_3, \gamma) \cap F_A \neq \emptyset$  by definition of  $L(A_{p_3})$ . We also have  $\gamma aw' \beta \in L(B)$  since by definition of  $L(q_1 B)$ , we have  $q_1 \in \delta_B(s_B, \gamma)$ . By the definition of  $\delta'$ , we have  $\langle p_2, q_2, q_1 \rangle \in \delta'(p_1, a)$  if  $q_2 \in \delta_B(q_1, a)$ . Therefore, there is a path in  $B$ :

$$s_B \xrightarrow{\gamma} q_1 \xrightarrow{a} q_2 \xrightarrow{w'} q_3 \xrightarrow{\beta} q_4 \in F_B.$$



Taking  $w = aw'$ , we can now write  $z = \alpha w \beta \in L(C)$ , with  $x = \alpha w \gamma \in L(A)$  and  $y = \gamma w \beta \in L(B)$ . By the definition of conjugate word blending, this implies  $z \in x \bowtie y$  and thus  $z \in L(A) \bowtie L(B)$ .

Therefore,  $L(C) \subseteq L(A) \bowtie L(B)$ , and we can conclude that  $L(C) = L(A) \bowtie L(B)$ .  $\square$

**Corollary 3.48.** *The class of regular languages is closed under conjugate word blending.*

Next, we will show that unlike word blending, the family of context-free languages is not closed under conjugate word blending.

**Proposition 3.49.** *The class of context-free languages is not closed under conjugate word blending.*

*Proof.* This can be proved by a counterexample. Consider two context-free languages  $L_1 = \{a^n b^n \# \mid n \in \mathbb{N}\}$  and  $L_2 = \{\# b^m a^m \mid m \in \mathbb{N}\}$ , we have that  $(L_1 \bowtie L_2) \cap a^* b^* a^* = \{a^n b^n a^n \mid n \in \mathbb{N}\}$ , which is not context free. Thus, since the class of context-free languages is closed under intersection with regular languages, it is not closed under conjugate word blending.  $\square$

**Proposition 3.50.** *The class of context-sensitive languages is not closed under conjugate word blending.*

*Proof.* Assume that the class of context-sensitive languages is closed under conjugate word blending. Let  $L_0$  be a recursively enumerable but not context-sensitive language over an alphabet  $\Sigma$  and let  $a, b \notin \Sigma$ . Then, there is a context-sensitive language  $L$  such that  $L$  consists of words of the form  $wba^i$ , where  $i \geq 0$  and  $w \in L_0$ , and for every word  $w$  in  $L_0$  there is an  $i \geq 0$  such that  $wba^i \in L$ . We have that  $(La \bowtie a^+b) \cap \Sigma^*b = L_0b$ . If the class of context-sensitive languages were closed under conjugate word blending, then  $L_0b$  would be context sensitive, which is a contradiction.  $\square$

We will now show that the class of recursively enumerable languages is closed under conjugate word blending. Recall that *sequential deletion* was defined in [139] as the binary language operation  $L_1 \rightarrow L_2 = \bigcup_{u \in L_1, v \in L_2} (u \rightarrow v)$ , where  $u \rightarrow v = \{w \in \Sigma^* \mid u = w_1 v w_2, w = w_1 w_2, w_1, w_2 \in \Sigma\}$ . We begin with the following lemma.

**Lemma 3.51.** *Consider two languages  $L_1, L_2$  over an alphabet  $\Sigma$ , two symbols  $\#, \$ \notin \Sigma$ , and a homomorphism  $h(a) = a$ , for  $a \in \Sigma$ , and  $h(\#) = h(\$) = \lambda$ . Conjugate word blending can be expressed as*

$$L_1 \bowtie L_2 = (L \cap L') \rightarrow (\# \Sigma^+ \$ \Sigma^+ \$),$$

where

$$L = (h^{-1}(L_1) \cap (\Sigma^* \Sigma^+ \# \Sigma^+ \$)) \overline{\odot} (h^{-1}(L_2) \cap (\# \Sigma^+ \$ \Sigma^+ \$ \Sigma^*)),$$

$\rightarrow$  is the sequential deletion operation,  $\overline{\odot}$  is the overlap assembly operation, and  $L' = \bigcup_{w \in \Sigma^*} \Sigma^* w \# \Sigma^+ \$ w \$ \Sigma^*$ .

*Proof.* Consider a word  $z \in L_1 \bowtie L_2$ , where there exists a decomposition  $z = \alpha w \beta$  where  $x = \alpha w \gamma \in L_1$ ,  $y = \gamma w \beta \in L_2$ , and  $\gamma \in \Sigma^+$ . We have that

$$\begin{aligned} z &= \alpha w \beta \\ &\in \alpha w \# \gamma \$ w \$ \beta \rightarrow (\# \Sigma^+ \$ \Sigma^+ \$) \\ &= (\alpha w \# \gamma \$ w \$ \beta \cap L') \rightarrow (\# \Sigma^+ \$ \Sigma^+ \$) \\ &\subseteq (L \cap L') \rightarrow (\# \Sigma^+ \$ \Sigma^+ \$). \end{aligned}$$

Next, consider a word  $z \in (L \cap L') \rightarrow (\# \Sigma^+ \$ \Sigma^+ \$)$ . There exist words  $\alpha, \beta \in \Sigma^*$  and  $w, \gamma \in \Sigma^+$  such that  $z = \alpha w \beta$  and  $z' = \alpha w \# \gamma \$ w \$ \beta \in (L \cap L') \subseteq L$ . Thus, there exist words  $x' = \alpha w \# \gamma \$ \in (h^{-1}(L_1) \cap (\Sigma^* \Sigma^+ \# \Sigma^+ \$))$  and  $y' = \# \gamma \$ w \$ \beta \in (h^{-1}(L_2) \cap (\# \Sigma^+ \$ \Sigma^+ \$ \Sigma^*))$  such that  $z' \in x' \overline{\odot} y'$ ,  $x = \alpha w \gamma \in L_1$ , and  $y = \gamma w \beta \in L_2$ . Thus, we have that  $z \in L_1 \bowtie L_2$ .  $\square$

**Proposition 3.52.** *The class of recursively enumerable languages is closed under conjugate word blending.*

*Proof.* This follows from Lemma 3.51, since the class of recursively enumerable languages is closed under overlap assembly [73], inverse homomorphism, intersection [243], and sequential deletion [139].  $\square$

In summary, the results of this section show that the classes of regular and recursively enumerable languages are closed under conjugate word blending, while the classes of context-free and context-sensitive languages are not. As conjectured earlier, these closure properties are different from those of word blending, the difference being that the class of context-free languages is closed under word blending but not under conjugate word blending.

## 3.6 DNA implementation of conjugate word blending

In this section, we describe the wet lab experiments that motivated and implemented the conjugate word blending operation. Section 3.6.1 introduces some basic notions of

molecular biology. Section 3.6.2 outlines the initial experimental evidence that led to the definition of conjugate word blending operation. Section 3.6.3 reports the experiments that confirmed and validated the XPCR-based implementation of the conjugate word blending. Note that some preliminary work for these experiments was developed in [14, 83] with the aim of generating a DNA library of operons (i.e., permutations of genes) able to optimize the PAH degradation work of *Burkholderia fungorum* DBT1.

### 3.6.1 Molecular biology preliminaries

In the remainder of this chapter, we will denote the union of the sets  $U$  and  $V$  by  $U + V$ . Often we will use as synonyms the terms strand, word, string, fragment, and molecule. The term *amplicon* is used to denote a fragment of DNA that is the product of molecular amplification (i.e., replication).

XPCR is a PCR-based protocol that realizes what in the context of splicing systems is called a null-context splicing rule [95], which is a particular splicing rule  $u_1\#u_2\$u_3\#u_4$  having  $u_2u_4 = \lambda$  and  $u_1 = u_3$ . In its general form, XPCR takes as input sequences  $\alpha X_1\gamma Y_2\beta + \alpha Y_1\gamma X_2\beta$ , where  $X_1$ ,  $Y_1$ ,  $Y_2$ , and  $X_2$  are genes, and  $\alpha$ ,  $\beta$ , and  $\gamma$  are primer sequences, and produces as an output the *chimeric* sequences (a chimeric sequence is a sequence formed from the prefix of one sequence and the suffix of another sequence joined together)  $\alpha X_1\gamma X_2\beta$  and  $\alpha Y_1\gamma Y_2\beta$ —this corresponds to the application of a null-context splicing rule with  $u_1 = u_3 = \gamma$ . The essential feature of this process (e.g., the recombination between  $\alpha X_1\gamma$  and  $\gamma X_2\beta$  that produces  $\alpha X_1\gamma X_2\beta$ ) can also be formalized as the overlap assembly operation between two strings  $xy$  and  $yz$ , resulting in the string  $xyz$ . Figure 3.2 illustrates the overlap assembly between  $xy$  and  $yz$ , where  $x = \alpha X$ ,  $y = \gamma$ , and  $z = Y\beta$ . If  $X = A$  and  $Y = D$  are the genes introduced in Section 3.3, then the expected length of the chimeric amplicon  $\alpha A\gamma D\beta$  is 1,600 bp, due to the primer and gene length ( $|A| = 1,019$  bp,  $|D| = 518$  bp, and  $|\alpha| = |\beta| = |\gamma| = 21$  bp).

All experiments of DNA strand amplification were performed in double sampling (that is, on two test tubes in parallel), with negative controls (test tubes with the same contents, except with no DNA templates), under different experimental conditions (including temperature, concentration, gene, and length variations), and repeated with two different polymerase enzymes, *Taq* polymerase and *Pfu* polymerase. To ensure higher duplication fidelity, *Pfu* DNA polymerase was chosen over the routinely used *Taq* DNA polymerase for initial reactions (gene extraction from the original genome) due to its proofreading capabilities and thermal resistance.

### 3.6.2 The initial experimental evidence

Concatenation of two different genes by XPCR was successfully implemented, even under interference, as illustrated in Figure 3.6, where a third input template  $\gamma B \gamma$  was added (to favour the formation of additional longer molecules  $\alpha A \gamma B \gamma D \beta$ ), apt to perturb the expected two-genes amplification. This was a way to prove the stability and robustness of XPCR, namely, its reliability under perturbation.

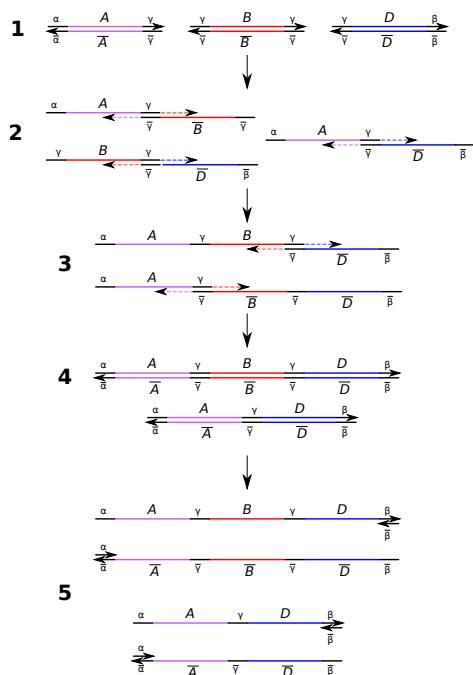


Figure 3.6: XPCR-based two-gene concatenation (genes A and D), from input templates ( $\alpha A \gamma$ ,  $\gamma B \gamma$ , and  $\gamma D \beta$ ) and primers ( $\alpha$  and  $\beta$ ) [83]. Row 1: Input templates. Row 2: Partially double-stranded DNA molecules that are two-gene recombinants generated by hybridization of DNA single strands from the input templates. Row 3: Partially double-stranded DNA molecules that are three-gene recombinants generated by the hybridization of DNA single strands from the input templates and the DNA double strands that were created from the recombinants in Row 2 after extension by polymerase. Only sequences that were exponentially amplified are illustrated. Row 4: Two DNA double strands that were exponentially amplified are  $\alpha A \gamma B \gamma D \beta$  and  $\alpha A \gamma B \beta$ . The amplification of the longer formation  $\alpha A \gamma B \gamma D \beta$  was produced in an insignificant quantity, as illustrated in Figure 3.7. Row 5: These two DNA double strands were amplified using primers ( $\alpha$  and  $\beta$ ), like in PCR.

In fact, also in some experiments reported in this section, an *interference molecule*  $\gamma X \gamma$  was added (with  $X \in \{A, B, D\}$ ), at higher concentrations than the other input molecules, to see whether it would interfere with the amplification of molecules containing  $\gamma$  as a prefix or suffix by forming longer concatenations (of three genes, as in Figure 3.6).

XPCR did not behave as expected when attempts were made to concatenate copies of the same gene using the method illustrated in Figure 3.6. In [14], several experiments were carried out with the aim of concatenating two (or more) copies of the same gene, using primers ( $\alpha$  and  $\bar{\beta}$ ) and templates  $\alpha X \gamma$  and  $\gamma X \beta$  (or templates  $\alpha X \gamma$ ,  $\gamma X \gamma$ , and  $\gamma X \beta$ ), where  $X$  is a gene. The output of these experiments was, unexpectedly,  $\alpha X \beta$  rather than  $\alpha X \gamma X \beta$  (or  $\alpha X \gamma X \gamma X \beta$ , respectively). These results were observed in presence of the interference molecules  $\gamma X \gamma$  at different concentration ratios.

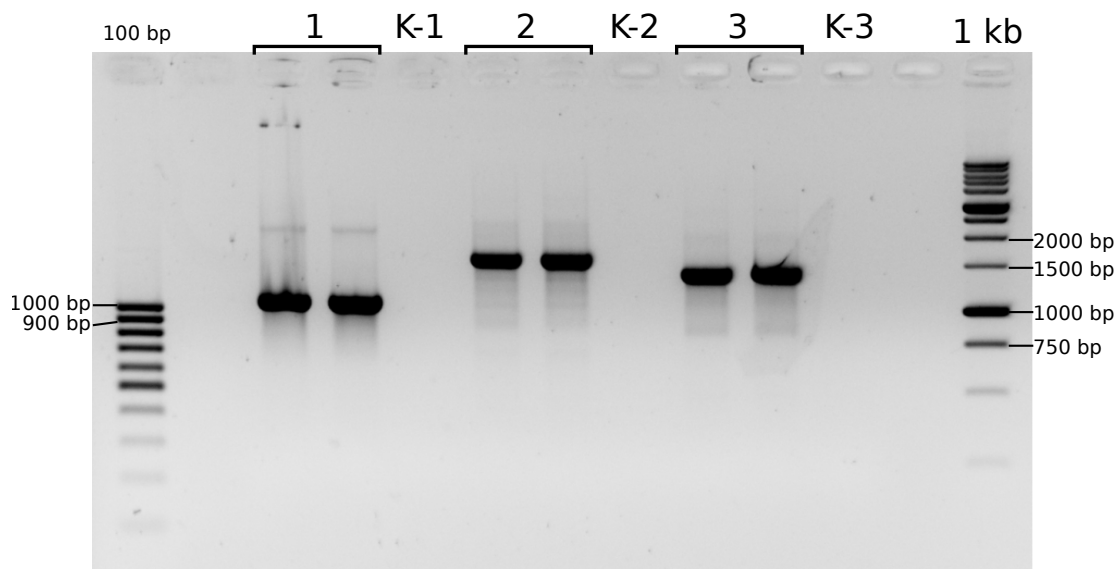


Figure 3.7: XPCR with templates containing the same gene and different genes, respectively [14]. Amplifications with primers ( $\alpha$  and  $\bar{\beta}$ ) and Taq polymerase. Lane 1: XPCR with templates  $\alpha A \gamma$ ,  $\gamma A \gamma$ , and  $\gamma A \beta$  exhibited a main product of about 1,000 bp ( $\alpha A \beta$ , a dark band) and a secondary product of about 2,000 bp ( $\alpha A \gamma A \beta$ , a faint grey band, in the same lane). Lane 2: XPCR with templates  $\alpha A \gamma$ ,  $\gamma B \gamma$ , and  $\gamma D \beta$  exhibited an amplification product of about 1,600 bp, which corresponded to the output  $\alpha A \gamma D \beta$ . Lane 3: XPCR with templates  $\alpha B \gamma$ ,  $\gamma D \gamma$ , and  $\gamma A \beta$  with an output amplification product of about 1,400 bp, corresponding to  $\alpha B \gamma A \beta$ . Lanes K-1, K-2, and K-3: Negative controls without templates for the reactions in Lanes 1, 2, and 3, respectively.

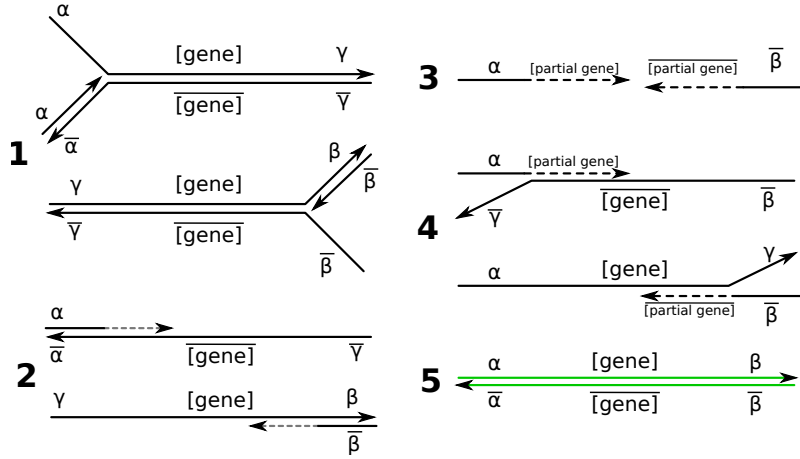


Figure 3.8: A possible explanation for the formation of the conjugate blending operation output. (The implicit assumption is that there always exists one template out of millions for which the described premature detachment occurs, and that this is enough to generate an exponential amplification of  $\alpha X \beta$ , with gene  $X$  and primers  $\alpha$  and  $\bar{\beta}$ , in the next PCR cycles.) Subgraph 1: Both primers anneal. Subgraph 2: Primer polymerase extension occurs along single templates. Over long segments  $X$ , this process takes a long time and may be interrupted by the high denaturation temperature expected in next step of PCR. This causes a premature detachment of the polymerase enzyme. Subgraph 3: Incomplete template copies generated. Subgraph 4: In the next PCR cycle, the resulting incomplete strands may anneal to each other and also to the other template and then generate (by polymerase extension) single strands  $\alpha X \beta$  and  $\bar{\alpha} X \bar{\beta}$ . Subgraph 5: These generated single strands will work as templates, where they will be exponentially amplified due to primer annealing. The single strands containing  $\gamma$  or  $\bar{\gamma}$  anneal with neither of the primers and are not amplified.

As exemplification of these phenomena, in Figure 3.7, we report experimental results that exhibit as outputs both the concatenation of two different genes described in Figure 3.6 (in the presence of a long interference molecule containing a different gene) and the unexpected amplicon  $\alpha A \beta$ , when two copies of the same gene A were present in the templates. More precisely, amplification of an input composed of three different templates,  $\alpha A \gamma$ ,  $\gamma B \gamma$ , and  $\gamma D \beta$  ( $\alpha B \gamma$ ,  $\gamma D \gamma$ , and  $\gamma A \beta$ , respectively) produced as an output  $\alpha A \gamma D \beta$  ( $\alpha B \gamma A \beta$ , respectively), as seen in Lane 2 (Lane 3, respectively) of Figure 3.7. On the other hand, amplification of an input composed of three different templates all containing

the gene A, that is,  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$ , produced as an output only the sequence  $\alpha A\beta$ , as seen in Lane 1 of Figure 3.7. In all cases, we amplified three different templates, present in equal concentrations, by PCR reactions under identical experimental conditions, with basic Taq polymerase.

These results provided experimental evidence of a limitation of the XPCR protocol, which indeed cannot be used to concatenate multiple occurrences of the same gene in a significant quantity [83].

In the case of multiple occurrences of the same gene, the unexpected outcome of XPCR might be due to phenomena similar to those observed in [111], which altered the normal amplification of DNA strands sharing long fragments. In particular, when we perform PCR with primers ( $\alpha$  and  $\bar{\beta}$ ) on templates with the same gene  $X$ , such as  $\alpha X\gamma$  and  $\gamma X\beta$ , it results in the biased production of the shortest amplicon  $\alpha X\beta$ , as depicted in Figure 3.8, up to the point where longer fragments are not detectable. On the electrophoresis gel, this leads to faint or indistinguishable bands for the longer products and a strong signal for the short product. In other words, once the shortest sequence  $\alpha X\beta$  has been formed, it is amplified faster than the longer strand  $\alpha X\gamma X\beta$ , probably due to the higher annealing efficiency of primers on shorter sequences.

### 3.6.3 Conjugate word blending: Experimental results

In this section, we report the details of additional wet lab DNA experiments that motivated and validated the notion of conjugate word blending explored in this paper. Below is a summary of all PCR experiments that demonstrate the conjugate word blending operation in action. The primers used are  $\alpha$  and  $\bar{\beta}$ , and these experiments confirmed the amplified production of  $\alpha X\beta$  sequences, as detailed below. Note that, based on the length of primers  $\alpha$ ,  $\gamma$ , and  $\beta$  (21 bp) and genes A (1,019 bp), B (311 bp), and D (518 bp), the expected lengths of the amplicons  $\alpha X\beta$  are 1,061 bp (for  $X = A$ ), 353 bp (for  $X = B$ ), and 560 bp (for  $X = D$ ).

1. XPCR with two different templates containing gene D, namely  $\alpha D\gamma$  and  $\gamma D\beta$ , output  $\alpha D\beta$ . The reaction, performed with Pfu polymerase, has the output amplicon reported in Lane 1 on the left panel of Figure 3.9.
2. The main output of XPCR with three different templates containing gene D, namely,  $\alpha D\gamma$ ,  $\gamma D\gamma$ , and  $\gamma D\beta$ , was  $\alpha D\beta$ . The DNA double strand  $\gamma D\gamma$  was the interference molecule. The template concentration ratio (of  $\alpha D\gamma$ ,  $\gamma D\gamma$ , and  $\gamma D\beta$ ) was 1: 10: 1

to favour the amplification of longer amplicons. Reactions were carried out with Pfu polymerase and five different annealing temperatures that corresponds to the amplicons visible in Lanes 1.1, 1.2, 1.3, 1.4, and 1.5 on the right panel of Figure 3.10.

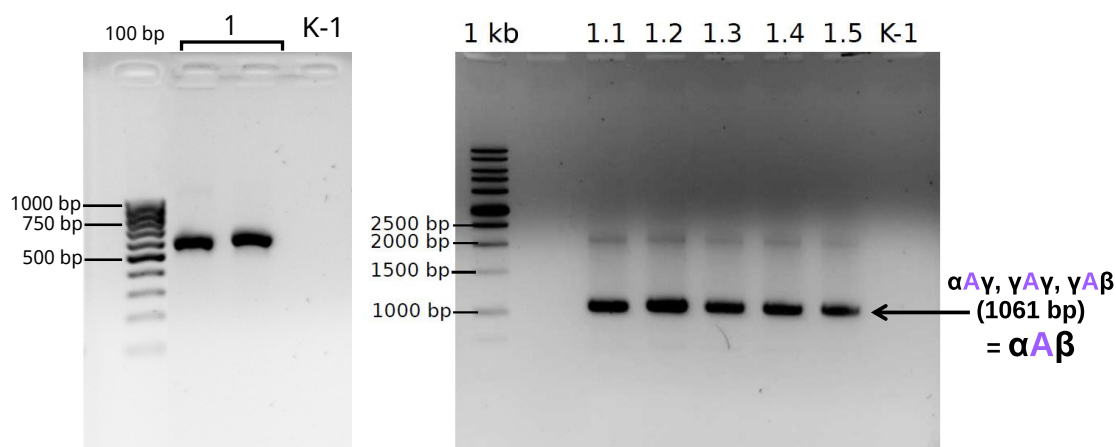


Figure 3.9: XPCR with templates containing gene D with no interference molecules (left panel) and XPCR with templates containing gene A with a high concentration of interference molecules (right panel) [83]. These reactions were performed with with primers ( $\alpha$  and  $\bar{\beta}$ ) and Pfu polymerase. Left panel, Lane 1: XPCR with templates  $\alpha D\gamma$  and  $\gamma D\beta$  exhibited a product of about 500 bp ( $\alpha D\beta$ ). Left panel, Lane K-1: Negative control without templates for the reaction in Lane 1. Right panel, Lanes 1.1, 1.2, 1.3, 1.4, and 1.5: XPCR with templates  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$  (with concentration ratio 1: 10: 1) and different annealing temperatures exhibited a main product of about 1,000 bp ( $\alpha A\beta$ ) and a secondary product of about 2,000 bp ( $\alpha A\gamma A\beta$ ). Right panel, Lane K-1: Negative control without templates for the reactions in Lanes 1.1, 1.2, 1.3, 1.4, and 1.5.

3. The output of XPCR with three different templates containing gene B, namely  $\alpha B\gamma$ ,  $\gamma B\gamma$ , and  $\gamma B\beta$  with the concentration ratio 1: 2: 1, was  $\alpha B\beta$ . Reactions were carried out with Taq polymerase, and corresponding products are visible in Lane 1.1 in the left panel of Figure 3.10.
4. The output of XPCR with three different templates containing gene A, namely  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$ , was  $\alpha A\beta$ . Reactions were carried out with Pfu polymerase and with different concentrations for the interference molecule  $\gamma A\gamma$  with respect to the other two templates  $\alpha A\gamma$  and  $\gamma A\beta$ . The experimental results of XPCR with template concentration ratios (of  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$ ) of 1: 2: 1 and 1: 5: 1 are shown in



Figure 3.11, and those of 1: 10: 1 are shown in Figure 3.9. Each of these three experiments, corresponding to the different concentration ratios, was performed at five different annealing temperatures.

We now describe in more detail a typical reaction, such as those shown in Figure 3.9, where the templates are  $\alpha D\gamma$  and  $\gamma D\beta$  (or  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$ , with concentration ratios 1: 10: 1, respectively). The left panel of Figure 3.9 exhibits the outcome of XPCR with templates  $\alpha D\gamma$  and  $\gamma D\beta$  in the form of a band that confirms the presence of a product of about 500 bp. Sequencing showed that this product was indeed the amplicon  $\alpha D\beta$ . On the right panel of Figure 3.9, in all five reactions with different temperatures, the main products of about 1,000 bp ( $\alpha A\beta$ ) are evident as the result of an XPCR over templates  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$ . A faint band of about 2,000 bp is visible as well, possibly containing expected concatenations  $\alpha A\gamma A\beta$  (2,101 bp), while concatenations  $\alpha A\gamma A\gamma A\beta$  (3,141 bp) were not formed in observable quantities.

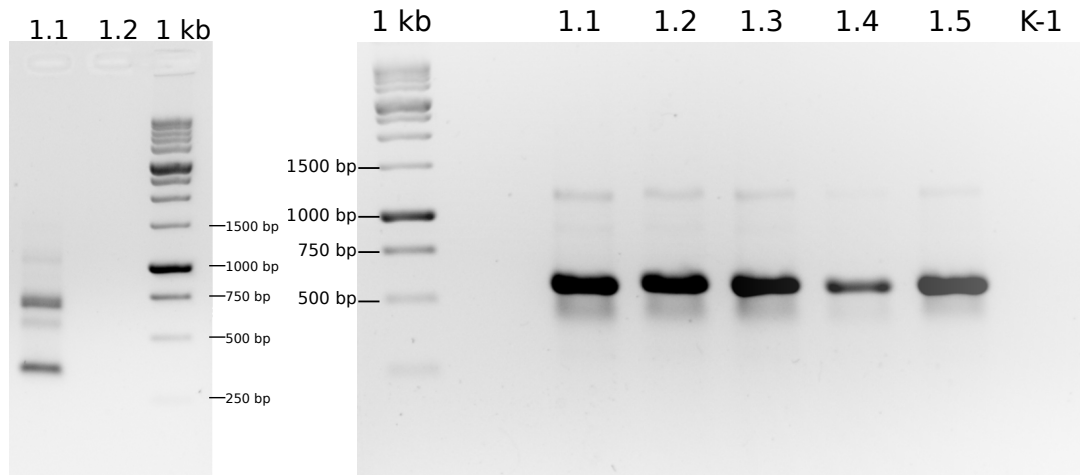


Figure 3.10: XPCR with templates containing gene B and XPCR with templates containing gene D [14]. Left panel, Lane 1.1: XPCR was performed using Taq polymerase and templates  $\alpha B\gamma$ ,  $\gamma B\gamma$ , and  $\gamma B\beta$  (with concentration ratio 1: 2: 1). It exhibited a main product of about 300 bp ( $\alpha B\beta$ ) and a secondary product of about 650 bp ( $\alpha B\gamma B\beta$ ). Left panel, Lane 1.2: Negative control without templates for the reaction in Lane 1.1. Right panel, Lanes 1.1, 1.2, 1.3, 1.4, and 1.5: XPCR was performed with Pfu polymerase, templates  $\alpha D\gamma$ ,  $\gamma D\gamma$ , and  $\gamma D\beta$  (with concentration ratio 1: 10: 1), and different annealing temperatures. A main product of about 500 bp ( $\alpha D\beta$ ) and a secondary product of about 1,100 bp ( $\alpha D\gamma D\beta$ ) were exhibited. Right panel, Lanes K-1: Negative control without templates for the reactions in Lanes 1.1, 1.2, 1.3, 1.4, and 1.5.

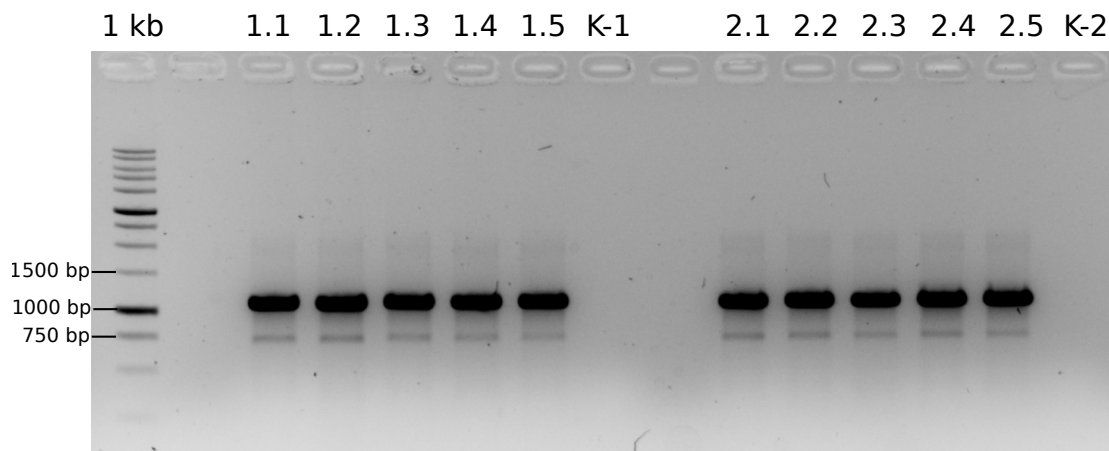


Figure 3.11: XPCR with templates containing gene A at two different ratios of molecular interference [14]. These reactions were performed with Pfu polymerase and templates  $\alpha A\gamma$ ,  $\gamma A\gamma$ , and  $\gamma A\beta$ . Lanes 1.1, 1.2, 1.3, 1.4, and 1.5: The molecular concentration ratio was 1: 2: 1. A different annealing temperature was used for every lane. Lanes 2.1, 2.2, 2.3, 2.4, and 2.5: The molecular concentration ratio was 1: 5: 1. A different annealing temperature was used for every lane. All aforementioned lanes exhibited a main product of about 1,061 bp (corresponding to  $\alpha A\beta$ ) and other very faint bands of biased products. Lanes K-1 and K-2: Negative controls without templates for the reactions in all aforementioned lanes.

The experiments illustrated in Figure 3.9 and Figure 3.11 demonstrate that XPCR with templates containing the gene A is robust, as the same outcome was obtained under different annealing temperatures and different interference molecule concentration ratios. Similar experiments were repeated with genes B and D with different DNA polymerases, different annealing temperatures, and different interference molecule concentration ratios, as illustrated in Figure 3.9 and Figure 3.10. This suggests that this process has no restrictions on the length of the gene.

### 3.7 Conclusion

In Section 3.1, we reviewed some related aspects of formal language studies. Section 3.2 listed some biologically inspired word operations. Section 3.3 discussed XPCR details and the previous defined word operation, called overlap assembly, inspired by it.

In Section 3.4, we first defined a word blending operation motivated by an experimentally observed outcome of XPCR on DNA strings. We studied closure properties, decision problems, and the state complexity for this operation, and we showed that given an alphabet, there are finitely many languages that can be the result from the iterated word blending applied to an initial language.

Section 3.5 introduced and studied conjugate word blending, a binary string operation that models the unexpected outcome of the wet lab XPCR procedure under a specific set up, namely when used to attempt concatenating two copies of the same gene. We investigated computational properties of this operation and proved that the classes of regular and recursively enumerable languages are closed under conjugate word blending, while the classes of context-free and context-sensitive languages are not.

In Section 3.6, we reviewed the wet lab experiments that the conjugate word blending operation is modelled upon, with three bacterial genes of different lengths, and verify its outcome under several experimental conditions, such as using different DNA polymerase enzymes (Taq and Pfu), different primer annealing temperatures, and in the presence of a so-called interference molecule, at various concentration ratios to the template molecules. In [83], it was hypothesized that the unexpected behaviour of XPCR under these specific conditions is caused by strand displacement (template switching and/or hydrolysis of competing strands [136]). Another explanation was proposed for this phenomenon, as illustrated in Figure 3.8. Further experimental work is needed to validate this explanation and the exact mechanisms of the observed molecular biology phenomenon on which the conjugate word blending is based.

As future work, we will develop theoretical investigations of its variants to more closely model the experimental reality of DNA string computation implemented by the XPCR wet lab procedure. Another direction could be to consider the complexity of the decision problems studied in Section 3.4.2 to find the exact number of different iterated blending languages in Corollary 3.41 and to characterize the class of languages generated by iterated blending. Finally, the question of determining the state complexity of iterated word blending remains open. Possible approaches could potentially make use of the connections between iterated blending and simple splicing systems.

# Chapter 4

## Involutive Fibonacci Words

The sequence of Fibonacci strings is an infinite sequence of strings obtained from two initial letters,  $f_1 = a$  and  $f_2 = b$ , by the recursive definition  $f_{n+2} = f_{n+1}f_n$  for all  $n \geq 1$  [159]. We first propose a unified terminology to identify the different types of Fibonacci words in the extensive literature on the topic. Motivated by ideas stemming from theoretical studies of DNA computing, we then define and explore involutive Fibonacci words ( $\phi$ -Fibonacci words and indexed  $\phi$ -Fibonacci words, where  $\phi$  denotes either a morphic or an antimorphic involution). As mentioned in Section 2.2, information-encoding DNA single strands can form intramolecular structures, such as hairpins, that are undesirable for some DNA computing experiments. Therefore, it is useful to find a simple and recursive method to design DNA single strands that can avoid those undesired intramolecular structures. We study borderedness and primitivity of involutive Fibonacci words in our search for a method that generates arbitrarily long DNA words that do not have undesired self-binding properties. We also study other properties of involutive Fibonacci words, such as structures and relationships.

In Section 4.1, a unified terminology is proposed, and different types of Fibonacci words are grouped according to this definition. Section 4.2 gives some preliminaries used in the following sections. In Section 4.3, we define and study several generalizations of Fibonacci words, called involutive Fibonacci words, inspired by DNA Watson-Crick complementarity. Section 4.4 proposes a generalization of indexed Fibonacci words to indexed  $\phi$ -Fibonacci words and discusses their interrelationships. Section 4.5 explores borders and  $\phi$ -borders of involutive Fibonacci words. In Section 4.6 and Section 4.7, the primitivity of various involutive Fibonacci words with singleton letters as the initial words is studied. Section 4.8 summarizes the results and discusses future work.

Section 4.1, Section 4.3, Section 4.4, and parts of Section 4.2 are adapted from a paper I co-authored [145] titled “Involutive Fibonacci words.”

Section 4.6, Section 4.7, and parts of Section 4.2 are adapted from a paper I co-authored [149] titled “Primitivity of atom Watson-Crick Fibonacci words.”

## 4.1 Introduction

Fibonacci words or Fibonacci strings were introduced as word counterparts of the Fibonacci numbers defined by  $F_0 = 0$ ,  $F_1 = 1$ , and the recursion  $F_n = F_{n-1} + F_{n-2}$  for all  $n \geq 2$ . “Fibonacci strings” were first defined by Knuth in his “The Art of Computer Programming” (volume 1, section 1.2.8, exercise 36, [159]) as being an infinite sequence of strings obtained from two initial letters,  $f_1 = a$  and  $f_2 = b$ , by the recursive definition  $f_{n+2} = f_{n+1}f_n$  for all  $n \geq 1$ . Various other definitions of Fibonacci words have been proposed since, as detailed in the sequel. In this section, we propose a unified terminology for the purpose of clarifying and comparing the multiple variants of the definition of Fibonacci words that exist in the literature.

The following definition proposes a uniform and intuitive terminology for the various types of Fibonacci words studied in the literature.

**Definition 4.1.** *Let  $\Sigma$  be an alphabet with  $|\Sigma| \geq 2$  and let  $u, v \in \Sigma^+$ . The  $n^{\text{th}}$  standard Fibonacci words are defined recursively as:*

$$f_1(u, v) = u, f_2(u, v) = v, \text{ and}$$

$$f_n(u, v) = f_{n-1}(u, v)f_{n-2}(u, v) \text{ for } n \geq 3.$$

*The sequence of standard Fibonacci words is defined as  $F(u, v) = \{f_n(u, v)\}_{n \geq 1}$ , that is,  $F(u, v) = \{u, v, vu, vuv, vuvvu, vuvvuv, vuvvuvvuv, \dots\}$ .*

*Similarly, the  $n^{\text{th}}$  reverse Fibonacci words are defined recursively as:*

$$f'_1(u, v) = u, f'_2(u, v) = v, \text{ and}$$

$$f'_n(u, v) = f'_{n-2}(u, v)f'_{n-1}(u, v) \text{ for } n \geq 3.$$

*The sequence of reverse Fibonacci words is defined as  $F'(u, v) = \{f'_n(u, v)\}_{n \geq 1}$ , that is,  $F'(u, v) = \{u, v, uv, vuv, uvvuv, vuvvuv, uvvuvvuv, \dots\}$ .*

*If the initial words  $u$  and  $v$  are singleton letters, the resulting words will be called atom standard Fibonacci words and atom reverse Fibonacci words, respectively.*

Note that the length of the  $n^{\text{th}}$  atom standard/reverse Fibonacci word  $f_n$  is in fact the Fibonacci number  $F_n$  for  $n \geq 1$ .

Below is a summary—not necessarily exhaustive—of papers in the literature, grouped by the types of Fibonacci words they study, according to Definition 4.1:

- Atom standard Fibonacci words: [19, 24, 50, 51, 60, 61, 68, 78, 79, 81, 158–160, 188, 192, 198, 208, 219, 220, 240, 241, 247, 248, 251, 256, 274];
- Atom reverse Fibonacci words: [51, 78, 104, 138, 248, 267, 268, 281];
- (Non-atomic) standard Fibonacci words: [49, 78, 281]; and
- (Non-atomic) reverse Fibonacci words: [49, 78, 267, 268, 281].

Indeed, according to Definition 4.1, the strings defined in [159] are atom standard Fibonacci words. They were extensively studied in such examples as [19, 60, 61, 160, 240], with some slight modifications of either changing the initial letters or slightly changing the indices. For examples, see [19, 61, 240, 241]. Some properties involving the structure of such atom standard Fibonacci words were studied in [68, 81].

It was noted in [78] that every standard (reverse) Fibonacci sequence  $F(u, v)$  ( $F'(u, v)$ , respectively) is a homomorphic image of the atom standard (atom reverse, respectively) Fibonacci sequence  $F(a, b)$  ( $F'(a, b)$ , respectively) via the homomorphism  $h(a) = u$  and  $h(b) = v$ , where  $a \neq b$ . Thus, properties of atom Fibonacci words are especially important.

In the remainder of this chapter, if the first two Fibonacci words are obvious from the context, the argument  $(u, v)$  will be omitted, and we will write the  $n^{\text{th}}$  standard Fibonacci word as  $f_n$ , the  $n^{\text{th}}$  reverse Fibonacci word as  $f'_n$ , the standard Fibonacci sequence as  $F$ , and the reverse Fibonacci sequence as  $F'$ .

An equivalent definition of the sequence of atom standard Fibonacci words, using the iteration of a morphism, was given in such studies as [19, 188], where a morphism  $\nu : \Sigma^* \rightarrow \Sigma^*$  is defined by  $\nu(b) = ba$ ,  $\nu(a) = b$ ,  $f_1 = a$ , and  $f_{n+1} = \nu^n(a)$  for all  $n \geq 1$ , which determines the sequence  $a, b, ba, bab, babba, babbabab, babbababbabba, \dots$ . Properties of atom standard Fibonacci words and sequences generated by iterating the morphism  $\nu$  were studied in [24, 188, 208, 219, 220, 247, 274]. It was shown in [219] that the length of the word  $f_n$ , defined by such a morphism, is the  $n^{\text{th}}$  Fibonacci number. In [251], it was shown that the infinite atom standard Fibonacci sequence is an automatic sequence (a sequence computed by a deterministic finite automaton with output), and Mousavi, Schaeffer, and Shallit [192] used the software Walnut to study properties of Fibonacci words using such automata.

Yet another alternative definition of the sequence of atom standard Fibonacci words is based on the “golden mean”  $\Phi = (1 + \sqrt{5})/2$  [256], whereby  $f_n = c_1c_2 \cdots c_n$ , with  $c_i = a$  if  $i \in \{\lfloor k\Phi \rfloor \mid k \geq 1\}$ , and  $c_i = b$  otherwise, for all  $1 \leq i \leq n$ .

The atom reverse Fibonacci words of Definition 4.1 were defined in [138] using an iterative morphism and discussed by Higgins [104] under the name *papal sequence*. Their properties were further studied in [248].

A generalization of atom standard and reverse Fibonacci words to the standard and reverse Fibonacci words of Definition 4.1 (wherein the first two words are non-atomic) was discussed in [49, 78, 267, 268, 281].

Another generalization was introduced in [49], which defined what we herein call *indexed Fibonacci words*. Under this definition, every indexed Fibonacci word is associated with a binary sequence whose last digit is 0 if the word was obtained by the standard concatenation order of the previous two words, and 1 if it was obtained by the reverse concatenation order. Properties of indexed Fibonacci words were studied in [50, 51].

In this chapter, we propose several generalizations of standard, reverse, and indexed Fibonacci words, motivated by an idea first advanced and studied in the context of DNA computing [142, 212], whereby the Watson-Crick DNA complementarity is formalized as an antimorphic involution function  $\theta$  on  $\Delta^*$ , where  $\Delta$  is the DNA alphabet defined as  $\Delta = \{A, C, G, T\}$ . Indeed, a DNA strand can be viewed as a word over  $\Delta$ , wherein A is Watson-Crick complementary to T and C to G, that is,  $\theta(A) = T$  and  $\theta(C) = G$ . Two complementary DNA single strands of opposite orientation bind together to form a DNA double strand (intermolecular structure). Also, if non-overlapping subwords of a DNA strand are complementary, the strand may bind to itself to form intramolecular structures such as stem-loops, known more commonly as hairpins (Figure 2.6).

As such, hairpins tend to interfere with DNA computations, and therefore are usually explicitly avoided by DNA computing experimentalists when encoding information as DNA strands. See [3, 9, 132, 133, 225] about this problem and about some of the “good” designs of DNA strands that are free of hairpins. However, hairpins are not a structure to always be avoided in DNA computations. For example, hairpins are the main component of “hairpin engine” DNA computing techniques [92, 237, 242]. In [135, 261, 262], hairpins serve as a binary information medium for DNA-based random-access memory. Last but not least, hairpins are the basic components of some DNA-based programmable “smart drugs” [17]. As it turns out, several of the generalizations of the Fibonacci words defined in this paper are guaranteed to form hairpins, which makes them a good candidate for encodings in hairpin-based DNA computations.

Note that other extensions of the atom Fibonacci sequence have been proposed and investigated in the literature, such as:

- The *mapped shuffled Fibonacci languages* is defined as  $F_{(u,v)} = \{h(w) \mid w \in F_{(a,b)}\}$ , whereby  $h(a) = u$ ,  $h(b) = v$ , and  $F_{(a,b)} = \bigcup_{i \geq 1} F_i$ . The languages  $F_i$ ,  $i \geq 1$ , are obtained from  $F_1 = \{a\}$  and  $F_2 = \{b\}$  by the recursive definition  $F_{n+2} = F_n \diamond F_{n+1}$  for all  $n \geq 1$ , where  $\diamond$  is the shuffle operation, as shown in [115].
- The sequence  $\{s_n\}_{n \geq -1}$  is defined by  $s_{-1} = 1$ ,  $s_0 = 0$ , and  $s_n = s_{n-1}^{d_n} s_{n-2}$  for  $n \geq 1$ , where  $d_1 \geq 0$  and  $d_n > 0$  for  $n > 1$  [21].
- The *k-Fibonacci words*, whereby  $f_{k,0} = 0$ ,  $f_{k,1} = 0^{k-1}1$ , and  $f_{k,n} = f_{k,n-1}^k f_{k,n-2}$  for  $n \geq 2$  and  $k \geq 1$  [230].
- The *(n,i)-Fibonacci words* whereby  $f_0^{[i]} = 0$ ,  $f_1^{[i]} = 0^{i-1}1$ , and  $f_n^{[i]} = f_{n-1}^{[i]} f_{n-2}^{[i]}$  for  $n \geq 2$  and  $i \geq 1$  [231, 232].
- The *m-bonacci words*, whereby  $f_i = \phi_m^i(0)$ ,  $\phi_m(m-1) = 0$ , and  $\phi_m(i) = 0(i+1)$ , for all  $0 \leq i \leq m-2$  [28].

These and other extensions of Fibonacci words, such as that in [69], are out of the scope of this thesis.

## 4.2 Preliminaries

An *involution* is a function  $f$  that is its own inverse, that is, for all  $x$  in the domain of  $f$ , we have  $f(f(x)) = x$ . A function  $h : \Sigma^* \rightarrow \Sigma^*$  is called a *morphism on  $\Sigma^*$*  if  $h(\lambda) = \lambda$ , and we have that  $h(uv) = h(u)h(v)$  for all  $u, v \in \Sigma^*$ . A function  $h : \Sigma^* \rightarrow \Sigma^*$  is called an *antimorphism on  $\Sigma^*$*  if  $h(\lambda) = \lambda$ , and we have that  $h(uv) = h(v)h(u)$  for all  $u, v \in \Sigma^*$ . Note that if  $h$  is a morphism on the language  $\Sigma^*$ , then  $h(a_1 a_2 \cdots a_n) = h(a_1)h(a_2) \cdots h(a_n)$ , and, if  $h$  is an antimorphism on  $\Sigma^*$ , then  $h(a_1 a_2 \cdots a_n) = h(a_n) \cdots h(a_2)h(a_1)$  for all  $a_i \in \Sigma$  and  $1 \leq i \leq n$ . A function  $\phi : \Sigma^* \rightarrow \Sigma^*$  is called a *morphic involution on  $\Sigma^*$*  (an *antimorphic involution on  $\Sigma^*$* ) if it is an involution on  $\Sigma$  extended to a morphism on  $\Sigma^*$  (to an antimorphism on  $\Sigma^*$ , respectively). For convenience, in the remainder of this chapter, we use the convention that the letter  $\phi$  denotes an involution that is either morphic or antimorphic (such a function will be termed *[anti]morphic involution*), that the letter  $\theta$  denotes an antimorphic involution, and that the letter  $\mu$  denotes a morphic involution.



A word  $x \in \Sigma^*$  is called a *border* of  $w \in \Sigma^+$  if  $w = x\alpha = \beta x$  for some  $\alpha, \beta \in \Sigma^*$ . A border  $x$  of  $w$  is said to be proper if  $|x| \neq |w|$ . A word  $x \in \Sigma^*$  is called a  $\phi$ -border of  $w \in \Sigma^+$  if  $w = x\alpha = \beta\phi(x)$  for some  $\alpha, \beta \in \Sigma^*$ , and a proper  $\phi$ -border if, in addition,  $|x| \neq |w|$ , see [147]. The empty word  $\lambda$  is a  $\phi$ -border of every  $w \in \Sigma^+$ . A non-empty word is said to be  $\phi$ -bordered if it has a proper non-empty  $\phi$ -border, and  $\phi$ -unbordered otherwise. If  $\phi$  is the identity on  $\Sigma$  extended to a morphism on  $\Sigma^*$ , then the  $\phi$ -bordered words coincide with the classical bordered words, and the  $\phi$ -unbordered words coincide with the classical unbordered words [280]. We recall:

**Lemma 4.2.** [147] *Let  $\theta$  be an antimorphic involution on  $\Sigma^*$ . Then, for all  $x \in \Sigma^+$ , we have that  $x$  is  $\theta$ -bordered if and only if  $x = ay\theta(a)$  for some  $a \in \Sigma$  and  $y \in \Sigma^*$ .*

A word  $u \in \Sigma^*$  is called a *conjugate* of  $v \in \Sigma^*$  if there exists a word  $w \in \Sigma^*$  such that  $uw = vw$ , or, equivalently, if  $u = xy$  and  $v = yx$  for  $x, y \in \Sigma^*$ . In [148] the concept of the conjugacy of words was extended to incorporate the notion of an (anti)morphic involution: A word  $u \in \Sigma^*$  is a  $\phi$ -conjugate of  $v \in \Sigma^*$  if there exists a word  $w \in \Sigma^*$  such that  $uw = \phi(w)v$ . If  $\phi$  is the identity on  $\Sigma$  extended to a morphism on  $\Sigma^*$ , this notion becomes the classic conjugacy on words.

A word  $w \in \Sigma^*$  is called a *palindrome* if  $w = w^r$ . A word  $w \in \Sigma^*$  is called a  $\phi$ -palindrome if  $w = \phi(w)$ , and the set of all  $\phi$ -palindromes is denoted by  $P_\phi$ . If  $\phi = \mu$  is a morphic involution on  $\Sigma^*$ , then the only  $\mu$ -palindromes are the words over  $\Sigma'$ , where  $\Sigma' \subseteq \Sigma$  and  $\mu$  is the identity on  $\Sigma'$ . Lastly, if  $\phi = \theta$  is the identity function on  $\Sigma$  extended to an antimorphism on  $\Sigma^*$ , then a  $\theta$ -palindrome is a classical palindrome, while, if  $\phi = \mu$  is the identity function on  $\Sigma$  extended to a morphism on  $\Sigma^*$ , then every word is a  $\mu$ -palindrome.

A word  $w \in \Sigma^+$  is said to be *primitive* if  $w = u^i$  implies  $w = u$  and  $i = 1$ . Let  $Q$  denote the set of all primitive words. For every word  $w \in \Sigma^+$ , there exists a unique word  $\rho(w) \in \Sigma^+$  called the *primitive root* of  $w$  such that  $\rho(w) \in Q$  and  $w = \rho(w)^n$  for some  $n \geq 1$ . A word  $w \in \Sigma^+$  is said to be  $\phi$ -primitive if  $w = \{u, \phi(u)\}^i$  implies  $w \in \{u, \phi(u)\}$  and  $i = 1$ . If  $\phi$  is the identity on  $\Sigma$  extended to a morphism on  $\Sigma^*$ , this notion becomes the classic primitivity on words.

The following observations will be used in the remainder of the chapter.

**Lemma 4.3.** *For  $n, m \geq 1$ , the following hold.*

- $\gcd(n, n + 1) = 1$ .
- For  $m$  even, if  $\gcd(n, m) = 1$ , then  $\gcd(n, \frac{m}{2}) = 1$ .

- $\gcd(n, n + 2)$  is 1 if  $n$  is odd and 2 if  $n$  is even.

We will also make use of the following identities on the Fibonacci numbers  $F_n$ , which can be proved using Lemma 4.3 and induction.

**Lemma 4.4.** *For all  $n \geq 1$ , the following identities hold.*

- $\gcd(F_n, F_{n+1}) = 1$ .
- $\gcd(F_n, \frac{F_{n+1}}{2}) = 1$  for  $F_{n+1}$  even.
- $\gcd(\frac{F_n}{2}, F_{n+1}) = 1$  for  $F_n$  even.
- $\gcd(F_n - 1, F_n + 1)$  is 1 if  $F_n$  is even and 2 if  $F_n$  is odd.
- $\gcd(\frac{F_n-1}{2}, \frac{F_{n+1}}{2}) = 1$  if  $F_n$  is odd.

Given a set  $\Sigma_4 = \{x_1, x_2, x_3, x_4\}$ , out of all possible permutations of  $\Sigma_4$  of the form

$$\phi = \begin{pmatrix} x_1 & x_2 & x_3 & x_4 \\ \phi(x_1) & \phi(x_2) & \phi(x_3) & \phi(x_4) \end{pmatrix},$$

there are 10 mappings that are involutions on  $\Sigma_4$ . We denote them by  $\phi_i$ ,  $1 \leq i \leq 10$ , and they are listed in Table 4.1.

	$\phi_1$	$\phi_2$	$\phi_3$	$\phi_4$	$\phi_5$	$\phi_6$	$\phi_7$	$\phi_8$	$\phi_9$	$\phi_{10}$
$x_1$	$x_1$	$x_2$	$x_3$	$x_4$	$x_1$	$x_1$	$x_1$	$x_2$	$x_3$	$x_4$
$x_2$	$x_2$	$x_1$	$x_2$	$x_2$	$x_3$	$x_4$	$x_2$	$x_1$	$x_4$	$x_3$
$x_3$	$x_3$	$x_3$	$x_1$	$x_3$	$x_2$	$x_3$	$x_4$	$x_4$	$x_1$	$x_2$
$x_4$	$x_4$	$x_4$	$x_4$	$x_1$	$x_4$	$x_2$	$x_3$	$x_3$	$x_2$	$x_1$

Table 4.1: List of all possible involutions over the set  $\Sigma_4 = \{x_1, x_2, x_3, x_4\}$ . If the letter in the cell of the column of  $\phi_i$  and row of  $x_j$  is  $x_k$ , where  $1 \leq i \leq 10$  and  $1 \leq j, k \leq 4$ , this denotes that  $\phi_i(x_j) = x_k$ . For example,  $\phi_3(x_3) = x_1$ .

Note that the mapping  $\phi_1$  is the involution whereby all letters are mapped to themselves (the identity on  $\Sigma_4$ ). The mappings  $\phi_i$ ,  $2 \leq i \leq 7$ , are the involutions whereby two of the letters are mapped to each other, and the other two are mapped to themselves. The mappings  $\phi_8$ ,  $\phi_9$ , and  $\phi_{10}$  are the only involutions whereby two of the letters are mapped to each other, and the other two letters are also mapped to each other.

Throughout this chapter, we use the convention that for a sequence  $(x_1, x_2, x_3, x_4)$  of letters from  $\Sigma_4$ , we have  $x_i \neq x_j$  whenever  $i \neq j$ . In the particular case of the DNA alphabet, that is, where  $\Sigma_4 = \Delta = \{A, C, G, T\}$ , there are a total of  $4! = 24$  possibilities for the choice of  $(x_1, x_2, x_3, x_4)$  for  $x_i \neq x_j$  and  $i \neq j$ . For each such choice of  $(x_1, x_2, x_3, x_4)$ , the Watson-Crick involution  $\theta_{\text{DNA}}$  will coincide on  $\Delta^*$  with one of  $\phi_8, \phi_9$ , and  $\phi_{10}$ . For example, if we fix  $(x_1, x_2, x_3, x_4) = (A, C, G, T)$ , then  $\phi_{10}$  coincides with  $\theta_{\text{DNA}}$  on  $\Delta^*$ , whereas, if we fix  $(x_1, x_2, x_3, x_4) = (C, G, A, T)$ , then  $\phi_8$  coincides with  $\theta_{\text{DNA}}$  on  $\Delta^*$ , and, if we fix  $(x_1, x_2, x_3, x_4) = (A, C, T, G)$ , then  $\phi_9$  coincides with  $\theta_{\text{DNA}}$  on  $\Delta^*$ .

Table 4.2 illustrates a particular case from Table 4.1, where we have  $(x_1, x_2, x_3, x_4) = (A, C, G, T)$ . For this example, we list all possible mappings  $\phi$  on  $\Delta$  that can be extended to an (anti)morphic involution on  $\Delta^*$ .

	$\phi_1$	$\phi_2$	$\phi_3$	$\phi_4$	$\phi_5$	$\phi_6$	$\phi_7$	$\phi_8$	$\phi_9$	$\phi_{10}$
A	A	C	G	T	A	A	A	C	G	T
C	C	A	C	C	G	T	C	A	T	G
G	G	G	A	G	C	G	T	T	A	C
T	T	T	T	A	T	C	G	G	C	A

Table 4.2: List of all possible involutions over the DNA alphabet  $\Delta = \{A, C, G, T\}$ .

In the remainder of the chapter, the mapping  $\phi_i$  on  $\Delta$  extended to a morphic involution on  $\Delta^*$  will be denoted by  $\mu_i$  for  $1 \leq i \leq 10$ , and similarly, the mapping  $\phi_i$  on  $\Delta$  extended to an antimorphic involution on  $\Delta^*$  will be denoted by  $\theta_i$  for  $1 \leq i \leq 10$ . Note that for  $(x_1, x_2, x_3, x_4) = (A, C, G, T)$ , the morphic involution  $\mu_1$  is the identity on  $\Delta^*$ , the antimorphic involution  $\theta_1$  is the mirror image, and the antimorphic involution  $\theta_{10} = \theta_{\text{DNA}}$  formalizes the Watson-Crick complementarity of DNA strings in  $\Delta^*$ , as shown in [142, 212].

We recall the following from [60, 172, 276].

**Theorem 4.5.** [60] For  $n \geq 1$ , the atom Fibonacci word  $f_n$  is primitive.

**Lemma 4.6.** [172] Let  $x, y \in \Sigma^+$  be two non-empty words.

- If  $xy = p^i$ ,  $p \in Q$ , and  $i \geq 1$ , then  $yx = q^i$  for some  $q \in Q$ .
- If  $xy = yx$ , then  $\rho(x) = \rho(y)$ .

**Proposition 4.7.** [276] Let  $p$  and  $q$  be primitive and  $d = \gcd(|p|, |q|)$ . If  $p^m = qx$ , for  $m \geq 2$  with  $q = xy$ ,  $y \in \Sigma^+$ , and  $|x| \geq |p| - d$ , then  $p = q$ .

Lastly, in Section 4.6 and Section 4.7, we will make an extensive use of the following result.

**Lemma 4.8.** *For a word  $x$  over an alphabet  $\Sigma$ , we have that if  $\gcd(|x|_a, |x|_b) = 1$  for at least a pair of letters  $a, b \in \Sigma$ , then  $x$  is primitive.*

*Proof.* We prove the contrapositive. By definition, if  $x$  is not primitive, then it can be written as  $x = p^i$ , where  $p \in Q$  and  $i > 1$ . For all pairs of letters  $a, b \in \text{Alph}(x)$ , we have  $|x|_a = i \cdot |p|_a$  and  $|x|_b = i \cdot |p|_b$ . Therefore,  $\gcd(|x|_a, |x|_b)$  is a multiple of  $i$ , thus,  $\gcd(|x|_a, |x|_b) \neq 1$ . For all pairs of letters  $a, b \in \Sigma$ , if one of the letters is not in  $\text{Alph}(x)$ , then  $\gcd(|x|_a, |x|_b) \neq 1$ .  $\square$

### 4.3 Involutive Fibonacci words

In this section, we generalize Definition 4.1 to define the  $n^{\text{th}}$  standard and reverse  $\phi$ -Fibonacci words/sequences in several ways, where  $\phi$  is an (anti)morphic involution. We consider special cases of such  $\phi$ -Fibonacci words where the initial two words  $u$  and  $v$  have various properties:  $u$  and  $v$  are both palindromes,  $u$  and  $v$  are both  $\phi$ -palindromes, or  $u = \phi(v)$ .

**Definition 4.9.** *Let  $\Sigma$  be an alphabet with  $|\Sigma| \geq 2$ , let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , and  $u, v \in \Sigma^+$ . If the first two  $\phi$ -Fibonacci words are  $u$  and  $v$ , respectively, three types of  $n^{\text{th}}$  standard  $\phi$ -Fibonacci words,  $g_n^\phi(u, v)$ ,  $w_n^\phi(u, v)$ , and  $z_n^\phi(u, v)$ ,  $n \geq 3$ , are defined recursively as follows:*

$$\begin{aligned} g_n^\phi(u, v) &= \phi(g_{n-1}^\phi(u, v)) \cdot g_{n-2}^\phi(u, v) && \text{(alternating);} \\ w_n^\phi(u, v) &= \phi(w_{n-1}^\phi(u, v)) \cdot \phi(w_{n-2}^\phi(u, v)) && \text{(palindromic); and} \\ z_n^\phi(u, v) &= z_{n-1}^\phi(u, v) \cdot \phi(z_{n-2}^\phi(u, v)) && \text{(hairpin).} \end{aligned}$$

Similarly, three types of  $n^{\text{th}}$  reverse  $\phi$ -Fibonacci words,  $[g_n^\phi(u, v)]'$ ,  $[w_n^\phi(u, v)]'$ , and  $[z_n^\phi(u, v)]'$ ,  $n \geq 3$ , are defined recursively as follows:

$$\begin{aligned} [g_n^\phi(u, v)]' &= [g_{n-2}^\phi(u, v)]' \cdot \phi([g_{n-1}^\phi(u, v)]') && \text{(alternating);} \\ [w_n^\phi(u, v)]' &= \phi([w_{n-2}^\phi(u, v)]') \cdot \phi([w_{n-1}^\phi(u, v)]') && \text{(palindromic); and} \\ [z_n^\phi(u, v)]' &= \phi([z_{n-2}^\phi(u, v)]') \cdot [z_{n-1}^\phi(u, v)]' && \text{(hairpin).} \end{aligned}$$

The sequence of standard alternating  $\phi$ -Fibonacci words  $G(u, v)$  can now be defined as  $G(u, v) = \{g_n^\phi(u, v)\}_{n \geq 1}$ , and the sequences  $W(u, v)$ ,  $Z(u, v)$ ,  $G'(u, v)$ ,  $W'(u, v)$ , and  $Z'(u, v)$  can be similarly defined.

If the first two  $\phi$ -Fibonacci words in the sequence are singleton letters in  $\Sigma$ , the respective  $\phi$ -Fibonacci words will be called atom (standard or reverse)  $\phi$ -Fibonacci words. If the involution  $\phi$  is clear from the context, we will sometimes call  $\phi$ -Fibonacci words simply involutive Fibonacci words.

In the remainder of this chapter, when the particular (anti)morphic involution  $\phi$  involved in the Fibonacci recursion needs to be emphasized, we will use the notation  $g_n^\phi(u, v)$ ,  $w_n^\phi(u, v)$ , or  $z_n^\phi(u, v)$  to denote the corresponding  $\phi$ -Fibonacci words for  $n \geq 1$ . However, if either the initial words  $u$  and  $v$  or the mapping  $\phi$  is clear from the context (as is the case in Definition 4.9), they will sometimes be omitted.

Note that, in the particular case when  $\phi$  is the identity function on  $\Sigma$  extended to a morphism on  $\Sigma^*$ , the words  $g_n = w_n = z_n$  all coincide with the standard Fibonacci words  $f_n$ , while  $g'_n = w'_n = z'_n$  all coincide with  $f'_n$ , for all  $n \geq 1$ . Thus,  $f_n$  and  $f'_n$  can also be called standard and reverse  $\phi$ -Fibonacci words, respectively, for all  $n \geq 1$ , with  $\phi$  being the identity function extended to a morphism.

We now illustrate the definitions with the following examples. Consider the DNA alphabet  $\Delta = \{A, C, G, T\}$ ,  $\phi(A) = T$ ,  $\phi(G) = C$ , and vice versa. Assume that the first two  $\phi$ -Fibonacci words are A and C, respectively. Table 4.3 describes the first of the various atom standard and reverse  $\phi$ -Fibonacci words, where  $\phi$  is either a morphic involution (MI) or an antimorphic involution (AMI) on  $\Delta^*$ . Note that, since  $\Delta$  denotes the DNA alphabet, if the involution  $\phi = \theta$  defined as above on  $\Delta$  is extended to an antimorphism on  $\Delta^*$ , then it models the DNA Watson-Crick complementarity of DNA strands. In this case, the standard palindromic  $\theta$ -Fibonacci words  $w_n$  and the reverse palindromic  $\theta$ -Fibonacci words  $w'_n$  form hairpin structures with partially double-stranded stems (Figure 2.6 depicts the word  $w_8$ ), while the standard and reverse hairpin  $\theta$ -Fibonacci words  $z_n$  and  $z'_n$  form hairpins with fully double-stranded stems.

It was first shown in [60] that the prefix of the atom standard Fibonacci word  $f_n$  of length  $|f_n| - 2$  is a palindrome, for all  $n \geq 3$ . Later in [78], the authors proved that the prefix of length  $|f_n| - 2$  of  $f_n$  is also the suffix of the atom reverse Fibonacci word  $f'_n$ , for all  $n \geq 3$ . These results from [60, 78] can be combined in the following lemma.

**Lemma 4.10.** *Let  $\Sigma = \{a, b\}$ , with  $a \neq b$ , and let  $f_1 = a$  and  $f_2 = b$ . Then, for  $n \geq 3$ , we have that  $f_n = s_n d_n$  and  $f'_n = d'_n s_n$ , where  $d'_n = d_n^r$  such that  $s_n$  is a palindrome, and  $d_n = ab$  if  $n$  is even, while  $d_n = ba$  if  $n$  is odd.*

	$g_n = \phi(g_{n-1})g_{n-2}$		$g'_n = g'_{n-2}\phi(g'_{n-1})$	
$n$	MI	AMI	MI	AMI
3	GA	GA	AG	AG
4	CTC	TCC	CTC	CCT
5	GAGGA	GGAGA	AGGAG	AGAGG
6	CTCCTCTC	TCTCCTCC	CTCTCCTC	CCTCCTCT
	$w_n = \phi(w_{n-1})\phi(w_{n-2})$		$w'_n = \phi(w'_{n-2})\phi(w'_{n-1})$	
$n$	MI	AMI	MI	AMI
3	GT	GT	TG	TG
4	CAG	ACG	GAC	GCA
5	GTCCA	CGTAC	ACCTG	CATGC
6	CAGGTGTC	GTACGCGT	CTGTGGAC	TGCGCATG
	$z_n = z_{n-1}\phi(z_{n-2})$		$z'_n = \phi(z'_{n-2})z'_{n-1}$	
$n$	MI	AMI	MI	AMI
3	CT	CT	TC	TC
4	CTG	CTG	GTC	GTC
5	CTGGA	CTGAG	AGGTC	GAGTC
6	CTGGAGAC	CTGAGCAG	CAGAGGTC	GACGAGTC

Table 4.3: The  $n^{\text{th}}$  atom  $\phi$ -Fibonacci words  $g_n$ ,  $g'_n$ ,  $w_n$ ,  $w'_n$ ,  $z_n$ , and  $z'_n$  with initial words A and C,  $3 \leq n \leq 6$ , where  $\phi(A) = T$ ,  $\phi(C) = G$ , is an involution extended to either a morphism (MI) or an antimorphism (AMI).

One can easily observe from Lemma 4.10 that  $s_n = s_n^r$ , for all  $n \geq 3$ . Hence, for  $n \geq 3$ , we have that  $d'_n s_n = f'_n = f_n^r = d_n^r s_n^r$ . Thus, we conclude the following.

**Lemma 4.11.** *Let  $\Sigma = \{a, b\}$ , with  $a \neq b$ , and let  $f_1 = f'_1 = a$ ,  $f_2 = f'_2 = b$ . Then we have  $f'_n = f_n^r$ , for all  $n \geq 1$ .*

One can easily show that a result similar to Lemma 4.11 also holds for atom standard and atom reverse  $\phi$ -Fibonacci words.

In the remainder of this chapter, we will often have to make statements that hold for several types of  $\phi$ -Fibonacci words. For brevity, we will use the notational convention that a statement of the type “ $\alpha_n \in \{f_n, g_n, w_n, z_n\}$  for all  $n \geq 1$ ” means that either we have  $\alpha_n = f_n$  for all  $n \geq 1$ , or that  $\alpha_n = g_n$  for all  $n \geq 1$ , or that  $\alpha_n = w_n$  for all  $n \geq 1$ , or that  $\alpha_n = z_n$  for all  $n \geq 1$ . Moreover, we will use the notational convention that a statement of the type “ $\alpha_n = g_n$  for all  $n \geq 1$ ” also implies the statement “ $\alpha'_n = g'_n$  for all  $n \geq 1$ .”

**Lemma 4.12.** *Let  $\Sigma = \{a, b, c, d\}$ , let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , and let the initial  $\phi$ -Fibonacci words be  $\alpha_1 = \alpha'_1 = a$ ,  $\alpha_2 = \alpha'_2 = b$ . If  $\alpha_n \in \{f_n, g_n, w_n, z_n\}$  for all  $n \geq 1$ , then  $\alpha'_n = \alpha_n^r$  for all  $n \geq 1$ .*

*Proof.* By strong induction on  $n$ . □

Note that Lemma 4.11 and Lemma 4.12 justify our terminology, calling  $f_n, g_n, w_n$ , and  $z_n$  “standard”  $\phi$ -Fibonacci words, while calling  $f'_n, g'_n, w'_n$ , and  $z'_n$  “reverse”  $\phi$ -Fibonacci words. Lemma 4.11, which holds for atom Fibonacci words, can now be generalized to Fibonacci words with  $f_1 = u$  and  $f_2 = v$ , provided that  $u$  and  $v$  are (non-empty) palindromes. Indeed, the following result is a direct corollary of Theorem 4 in [49], which stated that  $f_n(u, v)$  and  $f'_n(u, v)$  are conjugates for every  $u, v \in \Sigma^+$ .

**Corollary 4.13.** *Let  $f_1 = f'_1 = u$  and  $f_2 = f'_2 = v$ , such that  $u$  and  $v$  in  $\Sigma^+$  are palindromes. Then, for all  $n \geq 3$ , there exist non-empty palindromes  $x_n, y_n \in \Sigma^+$  such that  $f_n = x_n y_n$  and  $f'_n = y_n x_n$ , and hence  $f'_n = f_n^r$ .*

Note that, in general, the decomposition of  $f_n$  as a product of two non-empty palindromes  $x_n$  and  $y_n$  (Corollary 4.13) is not necessarily unique. For example, if we have  $f_1 = bab$  and  $f_2 = aba$ , then  $f_3 = ababab = (a)(babab) = (ababa)(b) = (aba)(bab)$  has three different decompositions into a product of two palindromes.

In the following, we will prove a result similar to Corollary 4.13, for the  $\phi$ -Fibonacci words  $g_n$  and  $g'_n$ , for both morphic as well as antimorphic involutions. The following result is a generalization of Lemma 4.10, to the case of  $g_n$  and  $g'_n$ .

**Proposition 4.14.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , and let  $g_1 = g'_1 = u$  and  $g_2 = g'_2 = v$ , where  $u, v \in \Sigma^+$ . Then, for  $n \geq 3$ , we have:*

$$g_n = \begin{cases} s_n xy : n \bmod 2 = 0, \\ s_n pq : n \bmod 2 = 1, \end{cases} \quad g'_n = \begin{cases} yx s'_n : n \bmod 2 = 0, \\ qps'_n : n \bmod 2 = 1, \end{cases}$$

where  $s_3 = s'_3 = \lambda$ , and

- If  $\phi = \mu$  is a morphic involution, then  $x = \mu(u)$ ,  $y = v$ ,  $p = \mu(v)$ ,  $q = u$ , and for all  $n \geq 4$ ,  $s_n = s'_n = \mu(s_{n-1})g'_{n-2} = g_{n-2}\mu(s_{n-1})$ . In addition, for  $n \geq 4$ , there exists word  $y_n$  such that  $y_n g_n = g'_n y_n$  and  $y_n = g'_{n-2}\mu(u)v$  when  $n$  is even and  $y_n = g'_{n-2}\mu(v)u$  otherwise.

- If  $\phi = \theta$  is an antimorphic involution, then  $x = y = v$ ,  $p = \theta(v)$ ,  $q = u$  and for all  $n \geq 4$ ,  $s_n = \theta(y_{n-1})\theta(s'_{n-1})$  and  $s'_n = \theta(s_{n-1})\theta(y_{n-1})$ . In addition, for  $n \geq 4$ , there exists a word  $y_n$  such that  $y_n g_n = g'_n y_n$  and  $y_n = y_{n-2} g_{n-2}$ , where  $y_3 = u$  and  $y_2 = v$ .

Proposition 4.14 can now be used to prove Corollary 4.15, which generalizes Theorem 4 in [49] and Corollary 4.13 to the case of  $g_n$  and  $g'_n$ .

**Corollary 4.15.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , and let the two initial words  $g_1 = g'_1 = u$  and  $g_2 = g'_2 = v$  be words in  $\Sigma^+$ . Then the words  $g_n$  and  $g'_n$  are conjugates for all  $n \geq 1$ . If in addition,  $u$  and  $v$  are palindromes, then for all  $n \geq 3$ , there exists palindromes  $x_n$  and  $y_n$  such that  $g_n = x_n y_n$ ,  $g'_n = y_n x_n$ , and hence also  $g'_n = g_n^r$ .*

Given an (anti)morphic involution  $\phi$  and initial words  $g_1$  and  $g_2$ , the decomposition of  $g_n$  into palindromes is not necessarily unique. Consider for example the (anti)morphic involution  $\phi$  such that  $\phi(a) = b$  and  $\phi(b) = a$ . If  $g_1 = bab$  and  $g_2 = aba$ , then  $g_4 = abaabaaba$ , which can be expressed as  $g_4 = (aba)(abaaba) = (abaaba)(aba)$ .

Theorem 4 of [49] showed that the Fibonacci words  $f_n$  and  $f'_n$  are conjugates of each other. Similarly, Corollary 4.15 shows that the  $\phi$ -Fibonacci words  $g_n$  and  $g'_n$  are conjugates of each other, for both morphic and antimorphic  $\phi$ . This does not hold for  $\phi$ -Fibonacci words  $z_n$  and  $w_n$ , as shown by checking the case  $n = 4$  in Table 4.3.

Even though we cannot prove conjugacy of  $z_n$  and  $z'_n$  ( $w_n$  and  $w'_n$ , respectively) for all  $n \geq 1$  in the general case, the following proposition holds, implying that if the first two Fibonacci words are palindromes, then  $z'_n = z_n^r$  and  $w'_n = w_n^r$  (Corollary 4.17).

**Proposition 4.16.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , and let  $\alpha_1 = \alpha'_1 = u$  and  $\alpha_2 = \alpha'_2 = v$ , where  $u, v \in \Sigma^+$ . If  $\alpha_n \in \{z_n, w_n\}$  for all  $n \geq 1$ , then, for all  $n \geq 3$ , we have that  $\alpha_n = s_n d_n$  and  $\alpha'_n = d'_n s'_n$ , where:*

- If  $\alpha_n = z_n$  and  $\phi = \mu$  is a morphic involution, then

$$d_n = \begin{cases} \mu(u)\mu(v) : n \bmod 4 = 0, \\ \mu(v)u : n \bmod 4 = 1, \\ uv : n \bmod 4 = 2, \\ v\mu(u) : n \bmod 4 = 3, \end{cases} \quad d'_n = \begin{cases} \mu(v)\mu(u) : n \bmod 4 = 0, \\ u\mu(v) : n \bmod 4 = 1, \\ vu : n \bmod 4 = 2, \\ \mu(u)v : n \bmod 4 = 3. \end{cases}$$

- If  $\alpha_n = z_n$  and  $\phi = \theta$  is an antimorphic involution, then we have  $d_n = u\theta(v)$  and  $d'_n = \theta(v)u$  for all  $n \geq 5$ .



- If  $\alpha_n = w_n$  and  $\phi = \mu$  is a morphic involution, then

$$d_n = \begin{cases} u\mu(v) : n \bmod 4 = 0, \\ vu : n \bmod 4 = 1, \\ \mu(u)v : n \bmod 4 = 2, \\ \mu(v)\mu(u) : n \bmod 4 = 3, \end{cases} \quad d'_n = \begin{cases} \mu(v)u : n \bmod 4 = 0, \\ uv : n \bmod 4 = 1, \\ v\mu(u) : n \bmod 4 = 2, \\ \mu(u)\mu(v) : n \bmod 4 = 3. \end{cases}$$

- If  $\alpha_n = w_n$  and  $\phi = \theta$  is an antimorphic involution, then

$$d_n = \begin{cases} uv : n \bmod 3 = 1, \\ \theta(v)\theta(u) : n \bmod 3 = 2, \\ v\theta(v) : n \bmod 3 = 0, \end{cases} \quad d'_n = \begin{cases} vu : n \bmod 3 = 1, \\ \theta(u)\theta(v) : n \bmod 3 = 2, \\ \theta(v)v : n \bmod 3 = 0. \end{cases}$$

*Proof.* We only prove the case when  $\alpha_n = w_n$  for all  $n \geq 1$  and  $\phi = \mu$  is a morphic involution by strong induction on  $n$ . The base cases for  $n \in \{4, 5, 6, 7\}$  can be verified directly where  $\mu(u) = u'$  and  $\mu(v) = v'$ . Assume the statement is true for all  $k \leq n$ , and consider  $w_{n+1}$ . If  $n + 1 \bmod 4 = 0$ , then we have that

$$w_{n+1} = \mu(w_n)\mu(w_{n-1}) = \mu(s_n v' u' s_{n-1} u' v) = \mu(s_n) v u \mu(s_{n-1}) u v' = s_{n+1} u v',$$

where  $s_{n+1} = \mu(s_n) v u \mu(s_{n-1})$ , and at the same time

$$w'_{n+1} = \mu(w'_{n-1})\mu(w'_n) = \mu(v u' s'_{n-1})\mu(u' v' s'_n) = v' u \mu(s'_{n-1}) u v \mu(s'_n) = v' u s'_{n+1},$$

where  $s'_{n+1} = \mu(s'_{n-1}) u v \mu(s'_n)$ . If  $u = u^r$  and  $v = v^r$ , then we have a decomposition whereby  $s'_{n+1} = \mu(s'_{n-1}) u v \mu(s'_n) = s'^r_{n+1}$ . Also, note that  $w'_{n+1} = w'^r_{n+1}$ . Cases where  $n + 1 \bmod 4 \in \{1, 2, 3\}$  can be proved similarly.  $\square$

**Corollary 4.17.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , let  $u, v \in \Sigma^+$ , and let  $\alpha_1 = \alpha'_1 = u$  and  $\alpha_2 = \alpha'_2 = v$ . If  $\alpha_n \in \{z_n, w_n\}$  for all  $n \geq 1$ , then for all  $n \geq 3$ , we have that  $\alpha_n = s_n d_n$  and  $\alpha'_n = d'_n s'_n$  as in Proposition 4.16. If in addition  $u$  and  $v$  are palindromes, then for all  $n \geq 5$ , we have that  $\alpha'_n = \alpha^r_n$ ,  $s'_n = s^r_n$ , and  $d'_n = d^r_n$ .*

Corollary 4.13, Corollary 4.15, and Corollary 4.17 show that in the special case of  $u$  and  $v$  being non-empty palindromes, if  $\alpha_n \in \{f_n, g_n, w_n, z_n\}$  for all  $n \geq 1$ , then  $\alpha'_n$  is the reverse of  $\alpha_n$  for all  $n \geq 5$ . We now consider other special cases by imposing other constraints on the initial words  $u$  and  $v$ . We first consider the case when the initial words  $u$  and  $v$  are (non-empty)  $\phi$ -palindromes. If  $\phi = \mu$  is a morphic involution, then  $\mu$  is the identity mapping on  $\text{Alph}(u) \cup \text{Alph}(v)$ , and a newly defined  $\phi$ -Fibonacci word  $g_n, w_n$ , or  $z_n$  coincides with  $f_n$  for all  $n \geq 1$  (the case of  $f_n$  was discussed in Corollary 4.13). The following proposition considers the case when  $\phi = \theta$  is an antimorphic involution.

**Theorem 4.18.** *Let  $f_i = f'_i$ ,  $g_i = g'_i$ ,  $w_i = w'_i$ , and  $z_i = z'_i$  for  $i = 1, 2$ , and let  $\theta$  be an antimorphic involution on  $\Sigma^*$ . If  $f_i$ ,  $g_i$ ,  $w_i$ , and  $z_i$  are non-empty  $\theta$ -palindromes for  $i = 1, 2$ , then:*

- *For all  $n \geq 1$ ,  $f_n = \theta(f'_n)$ ,  $g_n = \theta(g'_n)$ ,  $w_n = \theta(w'_n)$ , and  $z_n = \theta(z'_n)$ .*
- *For all  $n \geq 5$ ,  $g_n$  and  $g'_n$  are conjugates of each other, namely  $g_n = x_n y_n$  and  $g'_n = y_n x_n$ , where  $x_n, y_n$  are  $\theta$ -palindromes. In addition,  $x_{2n}$  can be decomposed as  $x_{2n} = y_{2n-1} = g_1 g_3 \cdots g_{2n-5} g_{2n-3}$ , while  $x_{2n+1}$  can be decomposed as  $x_{2n+1} = y_{2n} = g_2^2 g_4 g_6 \cdots g_{2n-4} g_{2n-2}$ .*
- *If  $n \bmod 3 \neq 0$ , we have that  $z_n = z'_n$ . Otherwise, we have that  $z_n$  and  $z'_n$  are conjugates, that is,  $z_n = x_n y_n$  and  $z'_n = y_n x_n$ , where both  $x_n = z_{n-1}$  and  $y_n = z_{n-2}$  are  $\theta$ -palindromes.*
- *For all  $n \geq 5$ ,  $w_n$  and  $w'_n$  are  $\theta$ -conjugates, that is, we have  $w_n = x_n y_n$  and  $w'_n = \theta(y_n) x_n$ , where  $x_n$  is a  $\theta$ -palindrome, and we have decompositions whereby  $x_n = w_{n-3} w'_{n-3}$  and  $y_n = w'_{n-4} w'_{n-2}$ .*

*Proof.* By strong induction on  $n$ . □

It was observed in [104] that the length of the atom reverse Fibonacci word  $f'_n$  is the Fibonacci number  $F_n$ . For other  $\phi$ -Fibonacci words  $\alpha_n \in \{g_n, z_n, w_n, g'_n, z'_n, w'_n\}$  for all  $n \geq 1$ , and if either  $\alpha_1 = \alpha_2$  or  $\phi(\alpha_1) = \alpha_2$ , then  $\alpha_n = u_1 u_2 u_3 \cdots u_k$ , where, for  $1 \leq i \leq k$ ,  $u_i \in \{\alpha_1, \phi(\alpha_1)\}$ , and therefore the length of the  $n^{\text{th}}$   $\phi$ -Fibonacci word equals  $|\alpha_1| \times F_n$ .

We end this section by considering another special case of  $\phi$ -Fibonacci words, where the initial words  $u$  and  $v$  satisfy the condition  $\phi(u) = v$ .

**Proposition 4.19.** *Let  $u, v \in \Sigma^+$ , let  $g_1 = w_1 = z_1 = g'_1 = w'_1 = z'_1 = u$ , and let  $g_2 = w_2 = z_2 = g'_2 = w'_2 = z'_2 = v$ . Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$  such that  $\phi(u) = v$ . Then, for all  $n \geq 3$ , we have:*

1. *If  $n$  is odd,  $g_n = g'_n = u^{F_n}$ , and if  $n$  is even,  $g_n = g'_n = v^{F_n}$ .*
2. *If  $\phi = \mu$  is a morphic involution and  $u$  and  $v$  are palindromes, then*

$$\begin{cases} w_n = x_n y_n, w'_n = y_n x_n^r : n \bmod 2 = 0, \\ w_n = x_n y_n, w'_n = y_n^r x_n : n \bmod 2 = 1. \end{cases}$$

3. If  $\phi = \theta$  is an antimorphic involution and  $u$  and  $v$  are palindromes, then

$$\begin{cases} w_n = (uv)^i, w'_n = (vu)^i : n \bmod 3 = 0, i = \frac{|F_n|}{2}, \\ w_n = w'_n : n \bmod 3 \neq 0. \end{cases}$$

- Proof.* 1. Follows from the definition of  $g_n, g'_n$ , and the hypothesis that  $\phi(u) = v$ .
2. Follows by induction on  $n$ , from the definition of  $w_n, w'_n$ , and the assumptions that  $\mu(u) = v$  and that  $u$  and  $v$  are palindromes.
3. Proof similar to that of (2). □

### 4.3.1 Relations between Fibonacci words and $\mu$ -Fibonacci words

In this section, we find relationships that exist between alternating  $\mu$ -Fibonacci words  $g_n$  and standard Fibonacci words  $f_n$  for morphic involutions  $\mu$  (see Theorem 4.21). We namely prove that, as suggested by Table 4.3, in the case of a morphic involution  $\mu$ , the words in the sequence of  $\mu$ -Fibonacci words  $\{g_n(u, v)\}_{n \geq 1}$  can be obtained by alternating the words from two different sequences of standard Fibonacci words,  $\{f_n(u, \mu(v))\}_{n \geq 1}$  and  $\{f_n(\mu(u), v)\}_{n \geq 1}$ , as follows:  $g_n(u, v)$  coincides with  $f_n(u, \mu(v))$  for odd  $n$  and with  $f_n(\mu(u), v)$  for even  $n$ . This property was the rationale for calling  $g_n$  “alternating Fibonacci words.” A similar relationship holds between sequences  $\{g'_n\}_{n \geq 1}$  and  $\{f'_n\}_{n \geq 1}$ , and between sequences  $\{w_n\}_{n \geq 1}$  (respectively  $\{w'_n\}_{n \geq 1}$ ) and  $\{z_n\}_{n \geq 1}$  (respectively  $\{z'_n\}_{n \geq 1}$ ). The following lemma is used to prove these relationships.

**Lemma 4.20.** *Let  $\phi = \mu_b$  be a morphic involution on  $\Sigma^*$ , let  $\mu_a$  be a morphic involution on  $\Sigma^*$  such that  $\mu_a \mu_b = \mu_b \mu_a$ , and let  $u, v \in \Sigma^+$ . If  $\alpha_n \in \{f_n, g_n, w_n, z_n\}$  for all  $n \geq 1$  are  $\mu_b$ -Fibonacci words then  $\mu_a(\alpha_n(u, v)) = \alpha_n(\mu_a(u), \mu_a(v))$  and  $\mu_a(\alpha'_n(u, v)) = \alpha'_n(\mu_a(u), \mu_a(v))$  for all  $n \geq 1$ .*

*Proof.* We consider the standard  $\mu_b$ -Fibonacci words  $g_n$ . The proof is by strong induction on  $n$ . By definition, we have  $\mu_a(g_1(u, v)) = \mu_a(u) = g_1(\mu_a(u), \mu_a(v))$ , and  $\mu_a(g_2(u, v)) = \mu_a(v) = g_2(\mu_a(u), \mu_a(v))$ , so the base case holds. Assume  $\mu_a(g_i(u, v)) = g_i(\mu_a(u), \mu_a(v))$  for all  $1 \leq i \leq k$ . Using the definition of  $g_n$  for  $n \geq 1$ , the fact that  $\mu_a$  is a morphism, and the induction hypothesis, we have that

$$\mu_a(g_{k+1}(u, v)) = \mu_a(\mu_b(g_k(u, v)) \cdot g_{k-1}(u, v))$$

$$\begin{aligned}
&= \mu_b(\mu_a(g_k(u, v))) \cdot \mu_a(g_{k-1}(u, v)) \\
&= \mu_b(g_k(\mu_a(u), \mu_a(v))) \cdot g_{k-1}(\mu_a(u), \mu_a(v)) \\
&= g_{k+1}(\mu_a(u), \mu_a(v)).
\end{aligned}$$

The proofs for other  $\mu_b$ -Fibonacci words are similar. □

Lemma 4.20 can be used to prove the following result.

**Theorem 4.21.** *Let  $\mu$  be a morphic involution on  $\Sigma^*$ , let  $u, v \in \Sigma^+$ , and let*

$$(\alpha_n, \beta_n) \in \{(f_n, g_n), (g_n, f_n), (z_n, w_n), (w_n, z_n), (f'_n, g'_n), (g'_n, f'_n), (z'_n, w'_n), (w'_n, z'_n)\},$$

for all  $n \geq 1$ . The following relations hold for all  $n \geq 1$ :

$$\alpha_n(u, v) = \begin{cases} \beta_n(\mu(u), v) & : n \bmod 2 = 0, \\ \beta_n(u, \mu(v)) & : n \bmod 2 = 1. \end{cases}$$

*Proof.* We prove the pair  $(g_n, f_n)$  using strong induction on  $n$ . By definition, we have  $g_1(u, v) = u = f_1(u, \mu(v))$  and  $g_2(u, v) = v = f_2(\mu(u), v)$ .

Assume now that for  $1 \leq i \leq k$ ,  $g_i(u, v) = f_i(u, \mu(v))$  if  $i$  is odd and  $g_i(u, v) = f_i(\mu(u), v)$  if  $i$  is even.

If  $k + 1$  is odd (the case of  $k + 1$  even is similar), then per the definition of  $g_{k+1}$  and  $f_{k+1}$ , the induction hypothesis, and Lemma 4.20 with  $\mu_a = \mu_b = \mu$ , we have that:

$$\begin{aligned}
g_{k+1}(u, v) &= \mu(g_k(u, v)) \cdot g_{k-1}(u, v) \\
&= \mu(f_k(\mu(u), v)) \cdot f_{k-1}(u, \mu(v)) \\
&= f_k(u, \mu(v)) \cdot f_{k-1}(u, \mu(v)) \\
&= f_{k+1}(u, \mu(v)).
\end{aligned}$$

The proofs for other cases are similar. □

In the case of an antimorphic involution, a relation like that of Theorem 4.21 does not hold. Indeed, Table 4.3 shows that

$$g_4(A, C) = \text{TCC} \neq \text{CTC} = f_4(\theta(A), C) = f_4(T, C).$$

We will end this subsection with some observations on iterated morphisms generating certain types of involutive Fibonacci words. Let  $\Delta = \{A, C, G, T\}$  be the DNA alphabet and  $\theta$  be the Watson-Crick antimorphic involution on  $\Delta^*$  that maps A to T and C to G. Then, assuming that A and C are the first two Fibonacci words, we have that:

- The word  $g_n$  can be obtained by iterating on A the morphism  $h_g$  defined as  $h_g(A) = C$ ,  $h_g(C) = GA$ ,  $h_g(G) = TC$ , and  $h_g(T) = G$ .
- The word  $w_n$  can be obtained by iterating on A the morphism  $h_w$  defined as  $h_w(A) = C$ ,  $h_w(C) = GT$ ,  $h_w(T) = G$ , and  $h_w(G) = AC$ .
- The word  $z_n$  can be obtained by iterating on A the morphism  $h_z$  defined as  $h_z(A) = C$ ,  $h_z(C) = CT$ ,  $h_z(T) = G$ , and  $h_z(G) = AG$ .

## 4.4 Indexed involutive Fibonacci words

In this section we show that in the case of both a morphic and an antimorphic involution, the  $\phi$ -Fibonacci words are connected to the indexed Fibonacci words defined and studied in [49]. We also define *indexed  $\phi$ -Fibonacci words* (Definition 4.28), which are a generalization of indexed Fibonacci words, and find relationships between various types of such words.

We first show the relations between the  $\theta$ -Fibonacci words  $g_n$  and indexed Fibonacci words. Recall the notion of *indexed Fibonacci words*, defined and investigated in [49] (note that [49] used a different notation):

**Definition 4.22.** *Let  $\Sigma$  be an alphabet, and let  $u, v \in \Sigma^+$ . The indexed Fibonacci words are defined recursively as*

$$f^0(u, v) = u, f^{00}(u, v) = v,$$

and, for all  $n \geq 2$ ,

$$f^{r_1 r_2 \dots r_n 0}(u, v) = f^{r_1 r_2 \dots r_n}(u, v) f^{r_1 r_2 \dots r_{n-1}}(u, v) \text{ and}$$

$$f^{r_1 r_2 \dots r_n 1}(u, v) = f^{r_1 r_2 \dots r_{n-1}}(u, v) f^{r_1 r_2 \dots r_n}(u, v),$$

where  $r_1 = r_2 = 0$  and  $r_i \in \{0, 1\}$  for all  $3 \leq i \leq n$ .

Informally, in the construction of an indexed Fibonacci word  $f^{00r_3r_4\dots r_n r_{n+1}}(u, v)$ , we use the digit  $r_{n+1} = 0$  to denote concatenating the last word with the second last word in the sequence (according to the standard Fibonacci concatenation order), and digit  $r_{n+1} = 1$  to denote concatenating the second last word with the last word (according to the reverse Fibonacci concatenation order). Note that the standard (respectively reverse) Fibonacci words now become particular cases of indexed Fibonacci words, in the construction of which the standard Fibonacci concatenation order (respectively reverse Fibonacci concatenation

order) is always used, that is,  $r_n = 0$  for all  $n \geq 3$  (respectively  $r_n = 1$  for all  $n \geq 3$ ), as follows:

$$f_1(u, v) = f'_1(u, v) = f^0(u, v) = u, f_2(u, v) = f'_2(u, v) = f^{00}(u, v) = v, \text{ and}$$

$$\text{for } n \geq 3, f_n(u, v) = f^{00 \dots 0^{n-2}}(u, v) \text{ and } f'_n(u, v) = f^{00 \dots 1^{n-2}}(u, v).$$

As before, when the initial words  $u, v$  are clear for the context, the argument  $(u, v)$  will be omitted.

The derivation of a sequence of indexed Fibonacci words can be represented by a path from the root ( $f^0$  and  $f^{00}$ ) to a leaf  $f^{00r_3 \dots r_n}$ ,  $n \geq 3$ , in a tree-like structure as follows:

$$f^0 = u, f^{00} = v \rightarrow \begin{cases} f^{000} = vu \rightarrow \begin{cases} f^{0000} = vuv \rightarrow \dots \\ f^{0001} = vvu \rightarrow \dots \end{cases} \\ f^{001} = uv \rightarrow \begin{cases} f^{0010} = uvv \rightarrow \dots \\ f^{0011} = vuuv \rightarrow \dots \end{cases} \end{cases}$$

We now recall a result from [49].

**Proposition 4.23.** *If  $u$  and  $v$  are non-empty palindromes, then for all  $n \geq 3$ , we have that  $f^{00r_3r_4 \dots r_n}(u, v) = (f^{00s_3s_4 \dots s_n}(u, v))^r$ , where  $s_j = 1 - r_j$  for  $3 \leq j \leq n$ .*

The following Lemma generalizes the above result and will aid in the proof of Proposition 4.25.

**Lemma 4.24.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$  and  $u, v \in \Sigma^+$ . Then, for all  $n \geq 3$ , we have that  $\phi(f^{00r_3 \dots r_n}(u, v)) = f^{00s_3 \dots s_n}(\phi(u), \phi(v))$ , where  $r_i \in \{0, 1\}$ , and for all  $3 \leq i \leq n$*

$$\begin{cases} s_i = r_i : \phi \text{ is a morphic involution,} \\ s_i = 1 - r_i : \phi \text{ is an antimorphic involution.} \end{cases}$$

*Proof.* We only prove for the case when  $\phi = \theta$  is an antimorphic involution by strong induction on  $n$ . The base case ( $n = 3$ ) follows by the definition of indexed Fibonacci words and the fact that  $\theta$  is antimorphic. Indeed, we have that

$$\theta(f^{000}(u, v)) = \theta(vu) = \theta(u)\theta(v) = f^{001}(\theta(u), \theta(v)),$$

$$\theta(f^{001}(u, v)) = \theta(uv) = \theta(v)\theta(u) = f^{000}(\theta(u), \theta(v)).$$

The case  $n = 4$  can be proved similarly.

Assume now that  $\theta(f^{00r_3 \dots r_j}(u, v)) = f^{00s_3 \dots s_j}(\theta(u), \theta(v))$ , where  $r_i \in \{1, 0\}$  and  $s_i = 1 - r_i$ ,  $3 \leq i \leq j$ , for all  $3 \leq j \leq k$  and  $k \geq 4$ . Consider  $f^{00r_3 \dots r_k r_{k+1}}(u, v)$  and assume that  $r_{k+1} = 0$ . Using the definition of indexed Fibonacci words and the induction hypothesis, we have:

$$\begin{aligned} \theta(f^{00r_3 \dots r_k 0}(u, v)) &= \theta(f^{00r_3 \dots r_k}(u, v) f^{00r_3 \dots r_{k-1}}(u, v)) \\ &= \theta(f^{00r_3 \dots r_{k-1}}(u, v)) \theta(f^{00r_3 \dots r_k}(u, v)) \\ &= f^{00s_3 \dots s_{k-1}}(\theta(u), \theta(v)) f^{00s_3 \dots s_k}(\theta(u), \theta(v)) \\ &= f^{00s_3 \dots s_{k-1} s_k 1}(\theta(u), \theta(v)). \end{aligned}$$

The case  $r_{k+1} = 1$  can be proved similarly. Thus, the inductive step and the proof hold.  $\square$

The next result shows that for an antimorphic involution  $\theta$ , the sequence of alternating  $\theta$ -Fibonacci words  $g_n$  consists of interleaving words from two sequences: If  $n$  is odd, it takes the word from the sequence of indexed Fibonacci words  $f^{00010101010\dots}$  (which alternates between the standard and reverse concatenation in its construction). If  $n$  is even, it takes the word from the sequence of indexed Fibonacci words  $f^{0010101010\dots}$  (which alternates between the reverse and standard concatenation in its construction).

**Proposition 4.25.** *Let  $\theta$  be an antimorphic involution on  $\Sigma^*$ , let  $u, v$  be two words in  $\Sigma^+$ , and let  $\alpha_n \in \{g_n, g'_n\}$  for all  $n \geq 1$ . The following relations hold for all  $n \geq 3$ :*

$$\alpha_n(u, v) = \begin{cases} f^{00\{sr\}^i}(\theta(u), v) : n \bmod 2 = 0, i = \frac{n-2}{2}, \\ f^{00r\{sr\}^i}(u, \theta(v)) : n \bmod 2 = 1, i = \frac{n-3}{2}, \end{cases}$$

where  $r = 0, s = 1$  if  $\alpha_n = g_n$ , and  $r = 1, s = 0$  if  $\alpha_n = g'_n$ .

*Proof.* It follows by strong induction on  $n$ , using Lemma 4.24.  $\square$

A relationship similar to that of Proposition 4.25 can be obtained for the case of morphic involutions as stated in Proposition 4.27, the immediate proof of which uses Lemma 4.24 and Lemma 4.26.

**Lemma 4.26.** *Let  $u, v$  be two words in  $\Sigma^+$ . Then,  $f^{\gamma 00}(u, v) = f^{\gamma 11}(u, v)$  for all words  $\gamma = r_1 r_2 \dots r_n$ ,  $n \geq 2$ , where  $r_1 = r_2 = 0$ ,  $r_i \in \{0, 1\}$  for  $3 \leq i \leq n$ .*

*Proof.* It follows  $f^{\gamma 00}(u, v) = f^\gamma(u, v) f^{r_1 r_2 \dots r_{n-1}}(u, v) f^\gamma(u, v) = f^{\gamma 11}(u, v)$ .  $\square$

**Proposition 4.27.** *Let  $\mu$  be a morphic involution on  $\Sigma^*$ , let  $u, v$  be two words in  $\Sigma^+$ , and let  $\alpha_n \in \{g_n, g'_n\}$  for all  $n \geq 1$ . Then,  $\alpha_3(u, v) = f^{00r}(u, \mu(v))$  and the following relations hold for  $n \geq 4$ :*

$$\alpha_n(u, v) = \begin{cases} f^{00r^{i ss}}(\mu(u), v) : i = n - 4, n \bmod 2 = 0, \\ f^{00r^{i ss}}(u, \mu(v)) : i = n - 4, n \bmod 2 = 1, \end{cases}$$

where  $r = 0, s = 1$  if  $\alpha_n = g_n$ , and  $r = 1, s = 0$  if  $\alpha_n = g'_n$ .

We now extend the concept of indexed Fibonacci words defined and studied in [49] to indexed  $\phi$ -Fibonacci words.

**Definition 4.28.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ , let  $u, v \in \Sigma^+$ , and let  $\alpha \in \{f, g, w, z\}$ . The indexed  $\phi$ -Fibonacci words are defined recursively as*

$$\alpha^0(u, v) = u, \alpha^{00}(u, v) = v,$$

and for all  $n \geq 2$  we have that  $r_1 = r_2 = 0$ ,  $r_i \in \{0, 1\}$  for  $3 \leq i \leq n$ , and:

$$\alpha^{r_1 r_2 \dots r_n 0}(u, v) = \begin{cases} \alpha^{r_1 r_2 \dots r_n}(u, v) \cdot \alpha^{r_1 r_2 \dots r_{n-1}}(u, v) & : \alpha = f, \\ \phi(\alpha^{r_1 r_2 \dots r_n}(u, v)) \cdot \alpha^{r_1 r_2 \dots r_{n-1}}(u, v) & : \alpha = g, \\ \phi(\alpha^{r_1 r_2 \dots r_n}(u, v)) \cdot \phi(\alpha^{r_1 r_2 \dots r_{n-1}}(u, v)) & : \alpha = w, \\ \alpha^{r_1 r_2 \dots r_n}(u, v) \cdot \phi(\alpha^{r_1 r_2 \dots r_{n-1}}(u, v)) & : \alpha = z, \end{cases}$$

$$\alpha^{r_1 r_2 \dots r_n 1}(u, v) = \begin{cases} \alpha^{r_1 r_2 \dots r_{n-1}}(u, v) \cdot \alpha^{r_1 r_2 \dots r_n}(u, v) & : \alpha = f, \\ \alpha^{r_1 r_2 \dots r_{n-1}}(u, v) \cdot \phi(\alpha^{r_1 r_2 \dots r_n}(u, v)) & : \alpha = g, \\ \phi(\alpha^{r_1 r_2 \dots r_{n-1}}(u, v)) \cdot \phi(\alpha^{r_1 r_2 \dots r_n}(u, v)) & : \alpha = w, \\ \phi(\alpha^{r_1 r_2 \dots r_{n-1}}(u, v)) \cdot \alpha^{r_1 r_2 \dots r_n}(u, v) & : \alpha = z. \end{cases}$$

Note that for a morphic involution  $\mu$ , the results in Lemma 4.26 hold also for the indexed  $\mu$ -Fibonacci words  $g$ , while Proposition 4.27 also holds if the roles of  $f$  and  $g$  are swapped. However, one can easily verify that Lemma 4.26 does not hold for the indexed  $\mu$ -Fibonacci words  $z$  or  $w$ , and Proposition 4.27 does not hold in the case where  $\alpha_n \in \{z_n, z'_n\}$  for all  $n \geq 1$  and  $f$  is the indexed  $\mu$ -Fibonacci word  $w$ , or in the case where  $\alpha_n = \{w_n, w'_n\}$  for all  $n \geq 1$  and  $f$  is the indexed  $\mu$ -Fibonacci word  $z$ .

However, the following results hold, which extends Theorem 4.21 to the case of indexed Fibonacci words.



**Proposition 4.29.** *Let  $\mu$  be a morphic involution on  $\Sigma^*$ , let  $u, v \in \Sigma^+$ , and let  $(\alpha_n, \beta) \in \{(f_n, g), (g_n, f), (z_n, w), (w_n, z), (f'_n, g'), (g'_n, f'), (z'_n, w'), (w'_n, z')\}$  for all  $n \geq 1$ . Then the following relations hold for all  $n \geq 1$ :*

$$\alpha_n(u, v) = \begin{cases} \beta^{00r^{n-2}}(\mu(u), v) : n \bmod 2 = 0, \\ \beta^{00r^{n-2}}(u, \mu(v)) : n \bmod 2 = 1, \end{cases}$$

where  $r = 0$  if  $\alpha_n \in \{g_n, f_n, z_n, w_n\}$ , and  $r = 1$  if  $\alpha_n \in \{g'_n, f'_n, z'_n, w'_n\}$ .

*Proof.* It follows by strong induction on  $n$ . □

We now generalize Lemma 4.24 to indexed  $\phi$ -Fibonacci words as follows.

**Lemma 4.30.** *Let  $\phi = \phi_2$  be an (anti)morphic involution on  $\Sigma^*$ , and let  $\phi_1$  be an (anti)morphic involution on  $\Sigma^*$  such that  $\phi_1\phi_2 = \phi_2\phi_1$ . Let  $u, v$  be two words in  $\Sigma^+$ , and let  $\alpha \in \{f, g, w, z\}$  be constructed using the (anti)morphic involution  $\phi_2$ . Then, for all  $n \geq 1$ , we have that  $\phi_1(\alpha^{r_1 r_2 r_3 \dots r_n}(u, v)) = \alpha^{s_1 s_2 s_3 \dots s_n}(\phi_1(u), \phi_1(v))$ , where  $r_1 = r_2 = s_1 = s_2 = 0$ , and for all  $3 \leq i \leq n$ , we have:*

$$\begin{cases} s_i = r_i, & \text{if } \phi_1 \text{ is a morphic involution,} \\ s_i = 1 - r_i, & \text{if } \phi_1 \text{ is an antimorphic involution.} \end{cases}$$

*Proof.* It follows by induction on  $n$ . □

Using Lemma 4.30, one can now show relations between various indexed  $\theta$ -Fibonacci words, similar to those of Proposition 4.25.

**Proposition 4.31.** *Let  $\theta$  be an antimorphic involution on  $\Sigma^*$ , let  $u, v \in \Sigma^+$ , and let  $(\alpha_n, \beta) \in \{(f_n, g), (g_n, f), (z_n, w), (w_n, z), (f'_n, g'), (g'_n, f'), (z'_n, w'), (w'_n, z')\}$  for all  $n \geq 1$ . The following relations hold for all  $n \geq 3$ :*

$$\alpha_n(u, v) = \begin{cases} \beta^{00\{sr\}^i}(\theta(u), v) : i = \frac{n-2}{2}, n \geq 4, n \bmod 2 = 0, \\ \beta^{00r\{sr\}^i}(u, \theta(v)) : i = \frac{n-3}{2}, n \geq 3, n \bmod 2 = 1, \end{cases}$$

where  $r = 0, s = 1$  if  $\alpha_n \in \{g_n, f_n, z_n, w_n\}$ , and  $r = 1, s = 0$  if  $\alpha_n \in \{g'_n, f'_n, z'_n, w'_n\}$ .

*Proof.* The statement follows from Lemma 4.30 by induction on  $n$ . □

## 4.5 Borders and $\phi$ -borders of $\phi$ -Fibonacci words

It is well known that both the standard and reverse Fibonacci words are bordered for all  $n \geq 3$ . In this section, we investigate the borderedness and  $\phi$ -borderedness of  $\phi$ -Fibonacci words. As seen in the next example, the borderedness of  $\phi$ -Fibonacci words depends on the two initial Fibonacci words, as well as on the involution under consideration.

**Example 4.32.** Let  $\phi$  be an (anti)morphic involution on  $\Delta^*$ , where  $\Delta = \{A, C, G, T\}$ , defined as  $\phi(A) = T$ ,  $\phi(C) = G$ , and vice versa, and let  $g_1 = w_1 = z_1 = AC$  and  $g_2 = w_2 = z_2 = T$ . Consider the  $\phi$ -Fibonacci words  $w_n, g_n, z_n$ , for  $n \geq 3$ .

If  $\phi = \theta$  is an antimorphic involution:

- The first standard palindromic  $\theta$ -Fibonacci words are

$$w_3 = AGT, w_4 = ACTA, w_5 = TAGTACT, w_6 = AGTACTATAGT,$$

and  $w_7 = ACTATAGTACTAGTACTA$ . Thus, the word  $w_6$  is bordered as well as  $\theta$ -bordered, but the word  $w_7$  is not  $\theta$ -bordered.

- The first standard alternating  $\theta$ -Fibonacci words are

$$g_3 = AAC, g_4 = GTTT, \text{ and } g_5 = AAACAAC.$$

Note that the words  $g_i$ , for  $3 \leq i \leq 5$ , are neither bordered nor  $\theta$ -bordered.

- The first standard hairpin  $\theta$ -Fibonacci words are

$$z_3 = TGT, z_4 = TGTA, z_5 = TGTAACA, \text{ and } z_6 = TGTAACATACA.$$

Note that  $z_3$  is bordered, but  $z_4, z_5$ , and  $z_6$  are not bordered. Also,  $z_4, z_5$ , and  $z_6$  are  $\theta$ -bordered.

If, on the other hand,  $\phi = \mu$  is a morphic involution:

- The first standard palindromic  $\mu$ -Fibonacci words are

$$w_3 = ATG, w_4 = TACA, w_5 = ATGTTAC, \text{ and } w_6 = TACAATGATGT.$$

Thus,  $w_6$  is both bordered and  $\mu$ -bordered.

- The first standard alternating  $\mu$ -Fibonacci words are

$$g_3 = \text{AAC}, g_4 = \text{TTGT}, g_5 = \text{AACAAAC}, \text{ and } g_6 = \text{TTGTTTGTGT}.$$

Note that the words  $g_5$  and  $g_6$  are bordered but not  $\mu$ -bordered.

- The first standard hairpin  $\mu$ -Fibonacci words are

$$z_3 = \text{TTG}, z_4 = \text{TTGA}, z_5 = \text{TTGAAAC}, \text{ and } z_6 = \text{TTGAAACAAC}.$$

Note that  $z_4$ ,  $z_5$ , and  $z_6$  are  $\mu$ -bordered, but  $z_3$  and  $z_6$  are not bordered.

Example 4.32 suggests the following result.

**Theorem 4.33.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ . Then, for all  $n \geq 6$ , we have:*

- If  $\phi = \mu$ , then the  $\mu$ -Fibonacci words  $g_n$ ,  $g'_n$ ,  $w_n$ ,  $w'_n$ ,  $z_n$ , and  $z'_n$  are bordered.
- If  $\phi = \mu$ , then the  $\mu$ -Fibonacci words  $w_n$  and  $w'_n$  are  $\mu$ -bordered.
- If  $\phi = \theta$ , then the  $\theta$ -Fibonacci words  $w_n$  and  $w'_n$  are bordered.
- The  $\phi$ -Fibonacci words  $z_n$  and  $z'_n$  are  $\phi$ -bordered.

*Proof.* The statement follows from Definition 4.9, as one can easily infer the following. For a morphic involution  $\mu$ , we have:

- For all  $n \geq 4$ ,  $g_n = g_{n-2}\mu(g_{n-3})g_{n-2}$  and  $g'_n = g'_{n-2}\mu(g'_{n-3})g'_{n-2}$ .
- For all  $n \geq 4$ ,  $w_n = w_{n-2}w_{n-3}\mu(w_{n-2})$  and  $w'_n = \mu(w'_{n-2})w'_{n-3}w'_{n-2}$ .
- For all  $n \geq 6$ ,  $z_n = z_{n-4}\mu(z_{n-5})\mu(z_{n-4})\mu(z_{n-3})\mu(z_{n-3})z_{n-4}$ , and similarly, for all  $n \geq 6$ ,  $z'_n = z'_{n-4}\mu(z'_{n-3})\mu(z'_{n-3})\mu(z'_{n-4})\mu(z'_{n-5})z'_{n-4}$ .
- For all  $n \geq 6$ ,  $w_n = w_{n-4}w_{n-5}\mu(w_{n-4})w_{n-3}w_{n-3}w_{n-4}$ , and similarly, for all  $n \geq 6$ ,  $w'_n = w'_{n-4}w'_{n-3}w'_{n-3}\mu(w'_{n-4})w'_{n-5}w'_{n-4}$ .

For an antimorphic involution  $\theta$ , we have  $w_n = w_{n-3}w_{n-2}w_{n-4}w_{n-3}$  and similarly  $w'_n = w'_{n-3}w'_{n-4}w'_{n-2}w'_{n-3}$  for  $n \geq 5$ . For an (anti)morphic involution  $\phi$ , we have  $z_n = z_{n-2}\phi(z_{n-3})\phi(z_{n-2})$  and  $z'_n = \phi(z'_{n-2})\phi(z'_{n-3})z'_{n-2}$  for  $n \geq 4$ .  $\square$

	$g_n = \phi(g_{n-1})g_{n-2}$		$z_n = z_{n-1}\phi(z_{n-2})$		$w_n = \phi(w_{n-1})\phi(w_{n-2})$	
	MI	AMI	MI	AMI	MI	AMI
bordered	True	False	True	False	True	True
$\phi$ -bordered	False	False	True	True	True	False

Table 4.4: The  $\phi$ -borderedness of  $\phi$ -Fibonacci words where  $\phi$  is an involution extended to either a morphism (MI) or an antimorphism (AMI).

The results are summarized in Table 4.4.

From Theorem 4.33, we see that  $z_n$  is  $\phi$ -bordered. In fact, for the case of an antimorphic involution  $\theta$ , the following relations hold for all  $n \geq 6$ : the  $\theta$ -borders of  $z_n$  are longer than  $z_{n-2}$  and  $z_n = A_n z_r \theta(A_n)$  when  $n$  is odd, while  $z_n = A_n \theta(z_r) \theta(A_n)$  if  $n$  is even, where  $A_n = z_{i_1} z_{i_2} \cdots z_{i_{k-1}} z_{i_k}$ , with  $r = (n \bmod 3) + 3$ ,  $i_1 = n - 2$ ,  $i_t = i_{t-1} - 3$ , and  $i_k = r + 1$ . A similar decomposition holds for  $z'_n$ . When  $\theta$  is the Watson-Crick antimorphic involution on DNA strings, the property of  $\theta$ -borderedness results in the DNA strings binding to themselves and forming hairpin structures (with fully double-stranded stems) [242], so we call  $z_n$  and  $z'_n$  “hairpin  $\phi$ -Fibonacci words.”

In cases where the borderedness or  $\phi$ -borderedness does not hold in general, the following examples suggest that placing additional constraints on the initial words may ensure the borderedness or  $\phi$ -borderedness of  $\phi$ -Fibonacci words.

**Example 4.34.** Let  $\phi$  be defined as in Example 4.32. We have the following:

- If  $z_1 = C$ ,  $z_2 = AT$ , and  $\phi = \theta$ , then  $z_3 = ATG$ ,  $z_4 = ATGAT$ ,  $z_5 = ATGATCAT$ , and  $z_6 = ATGATCATATCAT$ . Note that  $z_4$ ,  $z_5$ , and  $z_6$  are bordered. The condition is  $\text{pref}'(z_2) \cap \text{suff}'(\theta(z_2)) \neq \emptyset$ .
- If  $g_1 = A$ ,  $g_2 = CT$ , and  $\phi = \theta$ , then  $g_3 = AGA$ ,  $g_4 = TCTCT$ ,  $g_5 = AGAGAAGA$ , and  $g_6 = TCTTCTCTTCTCT$ . Note that  $g_3$ ,  $g_4$ ,  $g_5$ , and  $g_6$  are bordered. The condition is  $\text{pref}'(\theta(g_1)) \cap \text{suff}'(g_2) \neq \emptyset$ .
- If  $g_1 = A$ ,  $g_2 = CA$ , and  $\phi = \theta$ , then  $g_3 = TGA$ ,  $g_4 = TCACA$ ,  $g_5 = TGTGATGA$ , and  $g_6 = TCATCACATCACA$ . Note that  $g_3$ ,  $g_4$ ,  $g_5$ , and  $g_6$  are  $\theta$ -bordered. The condition is  $\text{suff}'(g_1) \cap \text{suff}'(g_2) \neq \emptyset$ .
- If  $g_1 = AT$ ,  $g_2 = TGA$ , and  $\phi = \mu$ , then  $g_3 = ACTAT$ ,  $g_4 = TGATATGA$ ,  $g_5 = ACTATACTACTAT$ , and  $g_6 = TGATATGATGATATGATATGA$ . Note that  $g_2$ ,  $g_3$ ,  $g_4$ ,  $g_5$ , and  $g_6$  are  $\mu$ -bordered. The condition is  $\text{suff}'(g_1) \cap \text{pref}'(g_2) \neq \emptyset$ .

- If  $w_1 = CA$ ,  $w_2 = CTG$ , and  $\phi = \theta$ , then

$$w_3 = CAGTG, w_4 = CACTGCAG, w_5 = CTGCAGTGCAGT, w_6 = CAGTGCAGTGCAGCTGCAGTG.$$

and  $w_6 = CAGTGCAGTGCAGCTGCAGTG$ . Note that  $w_2, w_3, w_4, w_5$ , and  $w_6$  are  $\theta$ -bordered. Note that the language  $\text{pref}'(w_2) \cap \text{suff}'(\theta(w_1))$  is non-empty, and so are  $\text{pref}'(w_1) \cap \text{pref}'(w_2)$  and  $\text{pref}'(\theta(w_1)) \cap \text{suff}'(w_2)$ .

We will now prove that the observations inferred from Example 4.34 hold in general (Proposition 4.36). We use the following Lemma.

**Lemma 4.35.** *Let  $u$  and  $v$  be two words in  $\Sigma^+$ , let  $g_1 = g'_1 = w_1 = w'_1 = z_1 = z'_1 = u$ , and let  $g_2 = g'_2 = w_2 = w'_2 = z_2 = z'_2 = v$ . If  $\phi = \theta$  is an antimorphic involution on  $\Sigma^*$ , then the following relations hold for all  $n \geq 3$  and some  $t_n, t'_n \in \Sigma^*$ :*

$$\begin{aligned} g_n &= \begin{cases} \theta(u)t_nv : n \bmod 2 = 0, \\ \theta(v)t_nu : n \bmod 2 = 1, \end{cases} & g'_n &= \begin{cases} vt'_n\theta(u) : n \bmod 2 = 0, \\ ut'_n\theta(v) : n \bmod 2 = 1, \end{cases} \\ w_n &= \begin{cases} \theta(v)t_n\theta(u) : n \bmod 3 = 0, \\ ut_n\theta(v) : n \bmod 3 = 1, \\ vt_nv : n \bmod 3 = 2, \end{cases} & w'_n &= \begin{cases} \theta(u)t'_n\theta(v) : n \bmod 3 = 0, \\ \theta(v)t'_nu : n \bmod 3 = 1, \\ vt'_nv : n \bmod 3 = 2, \end{cases} \\ z_n &= vt_n\theta(v), & z'_n &= \theta(v)t'_nv : n \geq 4. \end{aligned}$$

If, on the other hand,  $\phi = \mu$  is a morphic involution on  $\Sigma^*$ , then the following relations hold for all  $n \geq 3$  and some  $t_n, t'_n \in \Sigma^*$ :

$$g_n = \begin{cases} vt_nv : n \bmod 2 = 0, \\ \mu(v)t_nu : n \bmod 2 = 1, \end{cases} \quad g'_n = \begin{cases} vt'_nv : n \bmod 2 = 0, \\ ut'_n\mu(v) : n \bmod 2 = 1. \end{cases}$$

*Proof.* We only prove for the  $\theta$ -Fibonacci word  $g_n$  for  $n$  odd. Note that the first standard alternating  $\theta$ -Fibonacci words are  $g_1 = u$ ,  $g_2 = v$ ,  $g_3 = \theta(v)u$ , and  $g_4 = \theta(u)vv$ . Assume true for all  $k \leq n$ . Consider the word  $g_{n+1}$  for  $n+1$  an even number. Then by strong induction, we have

$$g_{n+1} = \theta(g_n)g_{n-1} = \theta(\theta(v)t_nu)\theta(u)t_{n-1}v = \theta(u)\theta(t_n)v\theta(u)t_{n-1}v = \theta(u)t_{n+1}v,$$

hence the result. The other cases can be proved in a similar fashion.  $\square$

It is clear from Theorem 4 in [49] that if  $f_1 = u$  and  $f_2 = v$ , then the Fibonacci words  $f_n$  are of the form  $vt_nvu$  when  $n$  is odd and of the form  $vs_nv$  when  $n$  is even, and hence are bordered for all  $n \geq 4$ . One can clearly see that if  $\phi$  is an (anti)morphic involution such that  $\phi(\text{pref}'(y)) \cap \text{suff}'(x) \neq \emptyset$  and  $\phi(\text{pref}'(y)) \cap \text{suff}'(y) \neq \emptyset$ , then each  $f_n$  is  $\phi$ -bordered.

We now use Lemma 4.35 to provide conditions on the initial words, which are sufficient to ensure that the  $\theta$ -Fibonacci words  $g_n$  and  $w_n$  are  $\theta$ -bordered, that the  $\mu$ -Fibonacci words  $g_n$  are  $\mu$ -bordered, and that the  $\theta$ -Fibonacci words  $z_n$  and  $g_n$  are bordered for all  $n \geq 4$ .

**Proposition 4.36.** *Let  $\phi = \theta$  be an antimorphic involution on  $\Sigma^*$ , let  $u, v \in \Sigma^+$ , and let  $g_1 = w_1 = z_1 = u$  and  $g_2 = w_2 = z_2 = v$ . The following relations hold for all  $n \geq 3$ :*

- *If  $\text{pref}'(v) \cap \text{suff}'(\theta(v)) \neq \emptyset$ , then  $z_n$  is bordered.*
- *If  $\text{pref}'(\theta(u)) \cap \text{suff}'(v) \neq \emptyset$ , then  $g_n$  is bordered.*
- *If  $\text{suff}'(u) \cap \text{suff}'(v) \neq \emptyset$ , then  $g_n$  is  $\theta$ -bordered.*
- *If  $\text{pref}'(\theta(u)) \cap \text{suff}'(v) \neq \emptyset$ ,  $\text{pref}'(v) \cap \text{suff}'(\theta(u)) \neq \emptyset$ ,  $\text{pref}'(u) \cap \text{pref}'(v) \neq \emptyset$ , then  $w_n$  is  $\theta$ -bordered.*

*If, on the other hand,  $\phi = \mu$  is a morphic involution on  $\Sigma^*$  and  $\text{suff}'(u) \cap \text{pref}'(v) \neq \emptyset$  and  $v$  is  $\mu$ -bordered, then  $g_n$  is  $\mu$ -bordered for  $n \geq 4$ .*

*Proof.* It follows directly from Lemma 4.35 and the definition of  $\phi$ -borders. □

Note that the initial words  $\alpha_1$  and  $\alpha_2$  given in Example 4.34 satisfy the conditions in Proposition 4.36. Also, Proposition 4.36 implies the following, for the case of the atom  $\theta$ -Fibonacci words.

**Corollary 4.37.** *Let  $\phi = \theta$  be an antimorphic involution on  $\Sigma^*$ , let  $a, b$  be two letters in  $\Sigma$ , and let  $g_1 = z_1 = w_1 = a$  and  $g_2 = z_2 = w_2 = b$ . Then for all  $n \geq 4$ , we have:*

- *If  $b = \theta(b)$ , then  $z_n$  is  $\theta$ -bordered.*
- *If  $\theta(a) = b$ , then  $g_n$  is bordered.*
- *If  $a = b$ , then  $g_n$  is  $\theta$ -bordered, and in addition if  $\theta(a) = b$ , then  $w_n$  is  $\theta$ -bordered.*

Lastly, we present a property of  $w_n$  for the case of an antimorphic involution, which justifies their being called “palindromic Fibonacci words.”

**Definition 4.38.** Let  $\theta$  be an antimorphic involution on  $\Sigma^*$ , and define

$$P_\theta = \{w \in \Sigma^+ \mid w = \theta(w)\}, \text{ and } P_{2\theta} = \{w\theta(w) \mid w \in \Sigma^+\}.$$

We call a string  $x$  a  $\theta$ -palstar if it belongs to  $P_{2\theta}^*$ . A non-empty  $\theta$ -palstar is said to be prime  $\theta$ -palstar if it cannot be written as a concatenation of two or more  $\theta$ -palstars.

Note that in the particular case when  $\theta$  is the mirror image, the definition above becomes the well-known definitions of palstar and prime palstar that were introduced in [160]. Note that each string in  $P_{2\theta}$  is a  $\theta$ -palindrome of even length, and conversely,  $P_{2\theta} = \{x \in P_\theta \mid 2k = |x| \text{ for some } k\}$ . By repeated decompositions, one can show that every  $\theta$ -palstar is expressible as a concatenation of prime  $\theta$ -palstars. One can also prove that such a decomposition of a  $\theta$ -palstar into prime  $\theta$ -palstars is unique, which is a consequence of the following Lemma.

**Lemma 4.39.** For an antimorphic involution  $\theta$  on  $\Sigma^*$ , a prime  $\theta$ -palstar cannot begin with another prime  $\theta$ -palstar.

*Proof.* It can be proved similarly to the known fact that a prime palstar cannot begin with another prime palstar [160].  $\square$

The following result shows that  $\theta$ -Fibonacci words  $w_n$  and  $w'_n$  can be expressed in two different ways as a  $\theta$ -palstar concatenated with a  $\theta$ -Fibonacci word  $w_i$  (respectively  $w'_i$ ). This justifies the  $\phi$ -Fibonacci words  $w_n$  being called “palindromic-Fibonacci words.”

**Proposition 4.40.** Given an antimorphic involution  $\phi = \theta$  on  $\Sigma^*$ , for all  $n \geq 6$ , the word  $w_n$  can be decomposed as  $w_n = A_n w_r = w_r B_n$ , where  $A_n, B_n$  are the  $\theta$ -palstars

$$A_n = p_{i_1} q_{j_1} p_{i_2} q_{j_2} \cdots p_{i_{k-1}} q_{j_{k-1}} p_{i_k} q_{j_k}, B_n = p_{s_1} p_{s_2} \cdots p_{s_{l-1}} p_{s_l},$$

such that  $p_i = w_i \theta(w_i)$ ,  $q_i = \theta(w_i) w_i$ ,  $j_t = i_t - 1$ ,  $i_t = i_{t-1} - 3$ ,  $i_1 = n - 3$ ,  $i_k = r$ ,  $s_1 = r + 1$ ,  $s_l = n - 2$ ,  $s_t = s_{t-1} + 3$ , and  $r = (n \bmod 3) + 3$ .

*Proof.* We prove the result by induction on  $n$ . For the base case, let  $n = 6$ , which gives us  $w_6 = \theta(w_5)\theta(w_4) = w_3 w_4 w_2 w_3 = w_3 \theta(w_3)\theta(w_2)w_2 w_3$ . Assume that,

$$w_k = p_{k-3} q_{k-4} p_{k-6} q_{k-7} \cdots p_{r+3} q_{r+2} p_r q_{r-1} w_r,$$

for  $r = (k \bmod 3) + 3$  and for all  $k \leq n$ . Consider  $w_{k+1}$ . Then, by definition, we have

$$w_{k+1} = \theta(w_k)\theta(w_{k-1}) = w_{k-2} w_{k-1} w_{k-3} w_{k-2} = w_{k-2} \theta(w_{k-2})\theta(w_{k-3})w_{k-3} w_{k-2}.$$

Hence, we have by induction that  $w_{k+1} = p_{k-2} q_{k-3} p_{k-5} q_{k-6} \cdots p_r q_{r-1} w_r$ . The proof for the other equality is similar.  $\square$

For the reverse palindromic  $\theta$ -Fibonacci words, the following result, similar to Proposition 4.40, holds.

**Proposition 4.41.** *Let  $\phi = \theta$  be an antimorphic involution on  $\Sigma^*$ . Then, for all  $n \geq 6$ , the word  $w'_n$  can be decomposed as  $w'_n = C_n w'_r = w'_r D_n$ , where  $C_n, D_n$  are the  $\theta$ -palstars*

$$C_n = q'_{i_1} q'_{i_2} \cdots q'_{i_{k-1}} q'_{i_k}, D_n = p'_{j_1} q'_{s_1} p'_{j_2} q'_{s_2} \cdots p'_{j_{k-1}} q'_{s_{k-1}} p'_{j_k} q'_{s_k},$$

such that  $p'_i = w'_i \theta(w'_i)$ ,  $q'_i = \theta(w'_i) w'_i$ ,  $i_1 = n - 2$ ,  $i_t = i_{t-1} - 3$ ,  $i_k = r + 1$ , and  $j_1 = r - 1$ ,  $j_k = n - 3$ ,  $s_t = j_t + 1$ ,  $j_t = j_{t-1} + 3$ , and  $r = (n \bmod 3) + 3$ .

*Proof.* Similar to that of Proposition 4.40, by induction on  $n$ . □

## 4.6 Primitivity of atom $\phi$ -Fibonacci words with different initial letters

In this section, we discuss the primitivity of atom  $\phi$ -Fibonacci words  $\alpha_n^\phi(a, b)$  with different initial letters  $a, b \in \Sigma_4$ , for all  $n \geq 1$ , where  $\phi$  is an (anti)morphic involution on  $\Sigma_4^*$  and  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . We first show that if we have an alphabet  $\Sigma_4 = \{x_1, x_2, x_3, x_4\}$  and a sequence  $(x_1, x_2, x_3, x_4)$ , if we choose  $x_1$  and  $x_2$  as the two initial letters of the  $\phi$ -Fibonacci sequence  $\{\alpha_n^\phi(x_1, x_2)\}_{n \geq 1}$ , it is enough to discuss the primitivity properties of atom  $\phi$ -Fibonacci words for the mappings  $\phi_1, \phi_2, \phi_4, \phi_5$ , and  $\phi_{10}$ .

Note that if  $\phi = \mu_1$ , the identity function on  $\Sigma_4^*$ , and  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ , the atom  $\phi$ -Fibonacci words  $\alpha_n^{\mu_1}(x_1, x_2)$  coincide with the classical Fibonacci words  $f_n(x_1, x_2)$ , which are primitive when  $x_1, x_2 \in \Sigma_4$  for all  $n \geq 1$  as shown in [60].

Lastly, note that the proofs for the results of this section hold for every choice of  $(x_1, x_2, x_3, x_4)$  and with  $x_1$  and  $x_2$  as the initial letters of the  $\phi$ -Fibonacci sequence. This justifies stating/proving the subsequent results for only one of the cases (usually the sequence [A, C, G, T] with A and C as the two initial letters).

In the sequel, we let  $[x]_{a \rightarrow b}$  denote the word obtained from  $x$  by replacing all occurrences of  $a$  in  $x$  by  $b$  and let  $[x]_{a \rightleftharpoons b}$  denote the word obtained from  $x$  by replacing all occurrences of  $a$  by  $b$  and all occurrences of  $b$  by  $a$ . For example, if  $x = abbab$  then  $[x]_{a \rightarrow b} = [abbab]_{a \rightarrow b} = bbbbb$  and  $[x]_{a \rightleftharpoons b} = [abbab]_{a \rightleftharpoons b} = baaba$ . We first observe the following.

**Lemma 4.42.** *Let  $a, b \in \Sigma$  and  $x \in \Sigma^*$ . We have that:*



- $[x]_{a\rightleftharpoons b} = [x]_{b\rightleftharpoons a}$ .
- If  $b \notin \text{Alph}(x)$ , we have that  $[x]_{a\rightarrow b} = [x]_{a\rightleftharpoons b}$ .
- If  $b \notin \text{Alph}(x)$ , we have  $[[x]_{a\rightarrow b}]_{b\rightarrow a} = x$ .

**Lemma 4.43.** *Let  $a, b \in \Sigma$ ,  $x \in \Sigma^*$ , and  $i \geq 0$ . We have that  $[x^i]_{a\rightarrow b} = ([x]_{a\rightarrow b})^i$  and  $[x^i]_{a\rightleftharpoons b} = ([x]_{a\rightleftharpoons b})^i$ .*

**Lemma 4.44.** *Let  $a, b \in \Sigma$  and  $x \in \Sigma^*$ . We have that:*

1. *If  $b \notin \text{Alph}(x)$ , then  $x$  is primitive if and only if  $[x]_{a\rightarrow b}$  is primitive.*
2. *If  $a, b \in \text{Alph}(x)$ , then  $x$  is primitive if and only if  $[x]_{a\rightleftharpoons b}$  is primitive.*

*Proof.* For statement (1), if  $a \notin \text{Alph}(x)$ , then  $x = [x]_{a\rightarrow b}$ , so  $x$  is primitive if and only if  $[x]_{a\rightarrow b}$  is primitive. Let  $a \in \text{Alph}(x)$ . Assume  $x$  is not primitive but  $[x]_{a\rightarrow b}$  is primitive. Since  $x$  is not primitive, we have  $x = q^i$ , where  $q \in Q$  and  $i \geq 2$ . By Lemma 4.43, we have  $[x]_{a\rightarrow b} = [q^i]_{a\rightarrow b} = ([q]_{a\rightarrow b})^i$ , which is a contradiction. The case where  $x$  is primitive but  $[x]_{a\rightarrow b}$  is not primitive can be proved similarly. Therefore,  $x$  is primitive if and only if  $[x]_{a\rightarrow b}$  is primitive. The statement (2) can be proved similarly using Lemma 4.43.  $\square$

**Theorem 4.45.** *Let  $\phi_i \in \{\mu_i, \theta_i\}$ ,  $1 \leq i \leq 10$ , be an (anti)morphic involution on  $\Sigma_4^*$  and  $\alpha_n \in \{g_n, w_n, z_n\}$  for  $n \geq 1$ . For  $n \geq 1$ , the following statements hold for  $\phi_i$ -Fibonacci words  $\alpha_n^{\phi_i}(x_1, x_2)$  :*

1.  $[\alpha_n^{\phi_4}(x_1, x_2)]_{x_4 \rightarrow x_3}$  *is primitive if and only if  $\alpha_n^{\phi_4}(x_1, x_2)$  is primitive.*
2.  $[\alpha_n^{\phi_5}(x_1, x_2)]_{x_3 \rightarrow x_4}$  *is primitive if and only if  $\alpha_n^{\phi_5}(x_1, x_2)$  is primitive.*
3.  $[\alpha_n^{\phi_{10}}(x_1, x_2)]_{x_4 \rightleftharpoons x_3}$  *is primitive if and only if  $\alpha_n^{\phi_{10}}(x_1, x_2)$  is primitive.*

*Proof.* 1. Let  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . One can easily prove by induction that, for all  $n \geq 1$ , we have  $x_3 \notin \text{Alph}(\alpha_n^{\phi_4}(x_1, x_2))$ . Hence by Lemma 4.44, the statement holds.

2. Let  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . For all  $n \geq 1$ , one can prove by induction that  $x_4 \notin \text{Alph}(\alpha_n^{\phi_5}(x_1, x_2))$ . Hence by Lemma 4.44, the statement holds.

3. We have two cases. The first one is when  $\alpha_n \in \{w_n, z_n\}$  for all  $n \geq 1$ . In this case, if  $1 \leq n \leq 4$ , the statement can be easily verified. If  $n \geq 5$ , then one can easily prove by induction that  $x_3, x_4 \in \text{Alph}(\alpha_n^{\phi_{10}}(x_1, x_2))$ . Thus, the statement holds by Lemma 4.44.

The second case is when  $\alpha_n = g_n$  for all  $n \geq 1$ . In this case, one can first prove by induction that, for all  $n \geq 1$ , we have  $x_3 \notin \text{Alph}(g_n^{\phi_{10}}(x_1, x_2))$  if  $n$  is even and  $x_4 \notin \text{Alph}(g_n^{\phi_{10}}(x_1, x_2))$  if  $n$  is odd. Using this fact, if  $n$  is even then by Lemma 4.42, we have  $[g_n^{\phi_{10}}(x_1, x_2)]_{x_4 \rightleftharpoons x_3} = [g_n^{\phi_{10}}(x_1, x_2)]_{x_3 \rightleftharpoons x_4} = [g_n^{\phi_{10}}(x_1, x_2)]_{x_3 \rightarrow x_4}$ . Also if  $n$  is even, then by Lemma 4.44, we have that  $[g_n^{\phi_{10}}(x_1, x_2)]_{x_4 \rightleftharpoons x_3} = [g_n^{\phi_{10}}(x_1, x_2)]_{x_3 \rightarrow x_4}$  is primitive if and only if  $g_n^{\phi_{10}}(x_1, x_2)$  is primitive. The case where  $n$  is odd can be proved similarly. □

We now show the equivalence of various  $\phi$ -Fibonacci words  $\alpha_n^\phi(x_1, x_2)$  for certain values of  $\phi \in \{\phi_i \mid 1 \leq i \leq 10\}$ . We use the following lemma, which can be proved easily by induction on  $n$ .

**Lemma 4.46.** *Let  $\phi_i \in \{\mu_i, \theta_i\}$ ,  $1 \leq i \leq 10$ , be an (anti)morphic involution on  $\Sigma_4^*$  and  $\alpha_n \in \{g_n, w_n, z_n\}$  for  $n \geq 1$ . The following equalities hold for  $\phi_i$ -Fibonacci words  $\alpha_n^{\phi_i}(x_1, x_2)$  and for all  $n \geq 1$ :*

1.  $\phi_1(\alpha_n^{\phi_1}(x_1, x_2)) = \phi_7(\alpha_n^{\phi_7}(x_1, x_2))$  if and only if  $\alpha_n^{\phi_1}(x_1, x_2) = \alpha_n^{\phi_7}(x_1, x_2)$ .
2.  $\phi_2(\alpha_n^{\phi_2}(x_1, x_2)) = \phi_8(\alpha_n^{\phi_8}(x_1, x_2))$  if and only if  $\alpha_n^{\phi_2}(x_1, x_2) = \alpha_n^{\phi_8}(x_1, x_2)$ .
3.  $[\phi_4(\alpha_n^{\phi_4}(x_1, x_2))]_{x_4 \rightarrow x_3} = \phi_3(\alpha_n^{\phi_3}(x_1, x_2))$  if and only if  $[\alpha_n^{\phi_4}(x_1, x_2)]_{x_4 \rightarrow x_3} = \alpha_n^{\phi_3}(x_1, x_2)$ .
4.  $[\phi_5(\alpha_n^{\phi_5}(x_1, x_2))]_{x_3 \rightarrow x_4} = \phi_6(\alpha_n^{\phi_6}(x_1, x_2))$  if and only if  $[\alpha_n^{\phi_5}(x_1, x_2)]_{x_3 \rightarrow x_4} = \alpha_n^{\phi_6}(x_1, x_2)$ .
5.  $[\phi_{10}(\alpha_n^{\phi_{10}}(x_1, x_2))]_{x_4 \rightleftharpoons x_3} = \phi_9(\alpha_n^{\phi_9}(x_1, x_2))$  if and only if

$$[\alpha_n^{\phi_{10}}(x_1, x_2)]_{x_4 \rightleftharpoons x_3} = \alpha_n^{\phi_9}(x_1, x_2).$$

*Proof.* We only prove statement (1) by induction, and it is sufficient to prove it for one of  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$  since the other cases are similar. Let  $\phi_1$  be a morphic involution, and, without loss of generality, let  $\alpha_n = z_n$  for all  $n \geq 1$ . By Definition 4.9 and Table 4.1, the result holds for  $n = 1$  and  $n = 2$ . For the inductive step, assume that  $\phi_1(z_i^{\phi_1}(x_1, x_2)) = \phi_7(z_i^{\phi_7}(x_1, x_2))$  if and only if  $z_i^{\phi_1}(x_1, x_2) = z_i^{\phi_7}(x_1, x_2)$  for all  $3 \leq i < k$ . We now have to prove that the equivalence holds for  $k$ .

For the direct implication, assume  $\phi_1(z_k^{\phi_1}(x_1, x_2)) = \phi_7(z_k^{\phi_7}(x_1, x_2))$ . Therefore, we have  $\phi_1(z_k^{\phi_1}(x_1, x_2)) = \phi_1(z_{k-1}^{\phi_1}(x_1, x_2)\phi_1(z_{k-2}^{\phi_1}(x_1, x_2))) = \phi_1(z_{k-1}^{\phi_1}(x_1, x_2))z_{k-2}^{\phi_1}(x_1, x_2)$ , and similarly we have  $\phi_7(z_k^{\phi_7}(x_1, x_2)) = \phi_7(z_{k-1}^{\phi_7}(x_1, x_2))z_{k-2}^{\phi_7}(x_1, x_2)$ . By  $\phi_1(z_k^{\phi_1}(x_1, x_2)) = \phi_7(z_k^{\phi_7}(x_1, x_2))$ , and the fact that  $|z_{k-2}^{\phi_7}(x_1, x_2)| = |z_{k-2}^{\phi_1}(x_1, x_2)|$ , we have  $z_{k-2}^{\phi_7}(x_1, x_2) = z_{k-2}^{\phi_1}(x_1, x_2)$  and  $\phi_7(z_{k-1}^{\phi_7}(x_1, x_2)) = \phi_1(z_{k-1}^{\phi_1}(x_1, x_2))$ . Therefore, we have  $z_k^{\phi_1}(x_1, x_2) = z_{k-1}^{\phi_1}(x_1, x_2)\phi_1(z_{k-2}^{\phi_1}(x_1, x_2)) = z_{k-1}^{\phi_7}(x_1, x_2)\phi_7(z_{k-2}^{\phi_7}(x_1, x_2)) = z_k^{\phi_7}(x_1, x_2)$  by the inductive hypothesis.

For the converse implication, assume  $z_k^{\phi_1}(x_1, x_2) = z_k^{\phi_7}(x_1, x_2)$ . Therefore, we have  $z_k^{\phi_1}(x_1, x_2) = z_{k-1}^{\phi_1}(x_1, x_2)\phi_1(z_{k-2}^{\phi_1}(x_1, x_2))$ , and similarly we have

$$z_k^{\phi_7}(x_1, x_2) = z_{k-1}^{\phi_7}(x_1, x_2)\phi_7(z_{k-2}^{\phi_7}(x_1, x_2)).$$

By  $z_k^{\phi_1}(x_1, x_2) = z_k^{\phi_7}(x_1, x_2)$ , and the fact that  $|z_{k-1}^{\phi_7}(x_1, x_2)| = |z_{k-1}^{\phi_1}(x_1, x_2)|$ , we have  $z_{k-1}^{\phi_7}(x_1, x_2) = z_{k-1}^{\phi_1}(x_1, x_2)$  and  $\phi_7(z_{k-2}^{\phi_7}(x_1, x_2)) = \phi_1(z_{k-2}^{\phi_1}(x_1, x_2))$ . Therefore, we have

$$\begin{aligned} \phi_1(z_k^{\phi_1}(x_1, x_2)) &= \phi_1(z_{k-1}^{\phi_1}(x_1, x_2)\phi_1(z_{k-2}^{\phi_1}(x_1, x_2))) = \phi_1(z_{k-1}^{\phi_1}(x_1, x_2))z_{k-2}^{\phi_1}(x_1, x_2) \\ &= \phi_7(z_{k-1}^{\phi_7}(x_1, x_2))z_{k-2}^{\phi_7}(x_1, x_2) = \phi_7(z_{k-1}^{\phi_7}(x_1, x_2)\phi_7(z_{k-2}^{\phi_7}(x_1, x_2))) = \phi_7(z_k^{\phi_7}(x_1, x_2)) \end{aligned}$$

by the inductive hypothesis.

The case when  $\phi_1$  is an antimorphic involution is similar. □

We now prove the following.

**Lemma 4.47.** *Let  $\phi_i \in \{\mu_i, \theta_i\}$ ,  $1 \leq i \leq 10$ , be an (anti)morphic involution on  $\Sigma_4^*$  and  $\alpha_n \in \{g_n, w_n, z_n\}$  for  $n \geq 1$ . For all  $n \geq 1$ , the following equalities hold for  $\phi_i$ -Fibonacci words  $\alpha_n^{\phi_i}(x_1, x_2)$  :*

1.  $\alpha_n^{\phi_1}(x_1, x_2) = \alpha_n^{\phi_7}(x_1, x_2)$ .
2.  $\alpha_n^{\phi_2}(x_1, x_2) = \alpha_n^{\phi_8}(x_1, x_2)$ .
3.  $[\alpha_n^{\phi_4}(x_1, x_2)]_{x_4 \rightarrow x_3} = \alpha_n^{\phi_3}(x_1, x_2)$ .
4.  $[\alpha_n^{\phi_5}(x_1, x_2)]_{x_3 \rightarrow x_4} = \alpha_n^{\phi_6}(x_1, x_2)$ .
5.  $[\alpha_n^{\phi_{10}}(x_1, x_2)]_{x_4 \rightleftharpoons x_3} = \alpha_n^{\phi_9}(x_1, x_2)$ .

*Proof.* We only prove statement (1) by induction, as the other cases are similar. By Definition 4.9, the result holds for  $n = 1$  and  $n = 2$ . We assume  $\alpha_i^{\phi_1}(x_1, x_2) = \alpha_i^{\phi_7}(x_1, x_2)$  holds for  $3 \leq i < k$ . It is enough to prove for one of  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . Without loss of generality, let  $\alpha_n = z_n$  for all  $n \geq 1$ . Then,  $\alpha_k^{\phi_1}(x_1, x_2) = z_k^{\phi_1}(x_1, x_2) = z_{k-1}^{\phi_1}(x_1, x_2)\phi_1(z_{k-2}^{\phi_1}(x_1, x_2))$ . By the inductive hypothesis and by Lemma 4.46 we have

$$z_k^{\phi_1}(x_1, x_2) = z_{k-1}^{\phi_7}(x_1, x_2)\phi_7(z_{k-2}^{\phi_7}(x_1, x_2)) = z_k^{\phi_7}(x_1, x_2).$$

Hence, the result.  $\square$

From Corollary 4.13, Corollary 4.15, Corollary 4.17, and the fact that words of length 1 are palindromes, we have the following observation.

**Lemma 4.48.** *Let  $\phi$  be an (anti)morphic involution on  $\Sigma^*$ ,  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ , and  $a, b \in \Sigma$ . For  $n \geq 1$ , the atom standard  $\phi$ -Fibonacci word  $\alpha_n^\phi(a, b)$  is primitive if and only if the atom reverse  $\phi$ -Fibonacci word  $[\alpha_n^\phi(a, b)]'$  is primitive.*

As a consequence of Theorem 4.45, Lemma 4.47, and Lemma 4.48, we only need to study the primitivity of atom  $\phi$ -Fibonacci words  $\alpha_n^\phi(x_1, x_2)$  for all  $n \geq 1$ , where  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$  and  $\phi \in \{\theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}, \mu_2, \mu_4, \mu_5, \mu_{10}\}$ .

Note that the results obtained above hold for every choice of  $(x_1, x_2, x_3, x_4)$  and with  $x_1$  and  $x_2$  as the initial letters of the  $\phi$ -Fibonacci sequence. Therefore, in the remainder of this section, we will only prove primitivity results about one of the cases, namely the sequence (A, C, G, T) over the DNA alphabet  $\Delta$ , with A and C as the two initial letters.

### 4.6.1 Atom alternating $\phi$ -Fibonacci words

We first discuss the primitivity of atom alternating  $\phi$ -Fibonacci words  $g_n$  for  $n \geq 1$ . In Table 4.5, we give the first few values of the sequences  $\{g_n^\phi(A, C)\}_{n \geq 1}$  for (anti)morphic involutions  $\phi \in \{\mu_1, \mu_2, \mu_4, \mu_5, \mu_{10}, \theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}\}$ .

Using Lemma 4.10, we prove the following theorem. Note that the cyclic shift by one position from the front of a word  $x \in \Sigma^*$  to the end of it can be represented by a composition of (left) derivative, concatenation, and finite union, that is, by  $\bigcup_{a \in \Sigma} (\partial_a x)a$ .

**Theorem 4.49.** *Let  $\phi = \theta_1$ . For all  $n \geq 1$ , the atom  $\phi$ -Fibonacci word  $g_n^{\theta_1}(A, C)$  is a conjugate of  $f_n'(A, C)$ . More precisely,*

$$g_n^{\theta_1} = \begin{cases} (\partial_C f_n')C : n \bmod 2 = 0, \\ (\partial_A f_n')A : n \bmod 2 = 1. \end{cases}$$

$\phi$	$g_3^\phi(A, C)$	$g_4^\phi(A, C)$	$g_5^\phi(A, C)$	$g_6^\phi(A, C)$	$g_7^\phi(A, C)$
$\mu_1$	CA	CAC	CACCA	CACCACAC	CACCACACCACCA
$\mu_2$	AA	CCC	AAAAA	CCCCCCCC	AAAAAAAAAAAAAAAA
$\mu_4$	CA	CTC	CACCA	CTCCTCTC	CACCACACCACCA
$\mu_5$	GA	CAC	GAGGA	CACCACAC	GAGGAGAGGAGGA
$\mu_{10}$	GA	CTC	GAGGA	CTCCTCTC	GAGGAGAGGAGGA
$\theta_1$	CA	ACC	CCACA	ACACCACC	CCACCACACCACA
$\theta_2$	AA	CCC	AAAAA	CCCCCCCC	AAAAAAAAAAAAAAAA
$\theta_4$	CA	TCC	CCACA	TCTCCTCC	CCACCACACCACA
$\theta_5$	GA	ACC	GGAGA	ACACCACC	GGAGGAGAGGAGA
$\theta_{10}$	GA	TCC	GGAGA	TCTCCTCC	GGAGGAGAGGAGA

Table 4.5: List of words  $g_n^\phi(A, C)$ , where  $3 \leq n \leq 7$  and  $\phi \in \{\mu_1, \mu_2, \mu_4, \mu_5, \mu_{10}, \theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}\}$ .

*Proof.* For  $1 \leq n \leq 7$ , this can be easily checked from Table 4.5. Assume the statement holds for  $g_i^{\theta_1}$ , where  $7 \leq i < k$ . We now prove this for  $g_k$ . Without loss of generality, let  $k$  be even. Then, by definition and Lemma 4.10, we have

$$\begin{aligned}
g_k^{\theta_1} &= \theta_1(g_{k-1}^{\theta_1})g_{k-2}^{\theta_1} = (g_{k-1}^{\theta_1})^r g_{k-2}^{\theta_1} = ((\partial_A f'_{k-1})A)^r \cdot ((\partial_C f'_{k-2})C) \\
&= (((\partial_A f'_{k-3} f'_{k-2}))A)^r \cdot ((\partial_C f'_{k-2})C) = A(Cs_{k-3}CA s_{k-2})^r A s_{k-2} C \\
&= A s_{k-2} A C s_{k-3} C A s_{k-2} C = A s_{k-2} (f'_{k-3} f'_{k-2}) C = A s_{k-2} f'_{k-1} C \\
&= (\partial_C C A s_{k-2} f'_{k-1}) C = (\partial_C f'_{k-2} f'_{k-1}) C = (\partial_C f'_k) C.
\end{aligned}$$

□

By Theorem 4.5 and Lemma 4.6, we have the following corollary.

**Corollary 4.50.** *Let  $\phi = \theta_1$ . For all  $n \geq 1$ , the atom  $\phi$ -Fibonacci word  $g_n^{\theta_1}(A, C)$  is primitive.*

We now use the following lemma which is a generalized version of Lemma 4.20 when  $\phi$  is a morphic involution. We show that the result also holds when  $\phi$  is an antimorphic involution.

**Lemma 4.51.** *Let  $\phi$  be an (anti)-morphic involution on  $\Sigma^*$ , let  $\mu_a$  be a morphic involution on  $\Sigma^*$  such that  $\mu_a \phi = \phi \mu_a$ , and let  $u, v \in \Sigma^+$ . If  $\alpha_n \in \{f_n, g_n, w_n, z_n\}$  for all  $n \geq 1$ , then for all  $n \geq 1$ , we have  $\mu_a(\alpha_n^\phi(u, v)) = \alpha_n^\phi(\mu_a(u), \mu_a(v))$ , and  $\mu_a([\alpha_n^\phi(u, v)]') = [\alpha_n^\phi(\mu_a(u), \mu_a(v))]'$ .*

*Proof.* We consider the standard  $\phi$ -Fibonacci words  $g_n$ . The proof is by induction on  $n$ . By definition of  $g_n$  (Definition 4.9), we have  $\mu_a(g_1(u, v)) = \mu_a(u) = g_1(\mu_a(u), \mu_a(v))$ , and  $\mu_a(g_2(u, v)) = \mu_a(v) = g_2(\mu_a(u), \mu_a(v))$ , so the base case holds. Assume that  $\mu_a(g_i(u, v)) = g_i(\mu_a(u), \mu_a(v))$  for all  $1 \leq i \leq k$ . Using the definition of  $g_n$  (Definition 4.9), the fact that  $\mu_a$  is a morphism, and the induction hypothesis, we have

$$\begin{aligned} \mu_a(g_{k+1}(u, v)) &= \mu_a(\phi(g_k(u, v)) \cdot g_{k-1}(u, v)) \\ &= \phi(\mu_a(g_k(u, v))) \cdot \mu_a(g_{k-1}(u, v)) \\ &= \phi(g_k(\mu_a(u), \mu_a(v))) \cdot g_{k-1}(\mu_a(u), \mu_a(v)) \\ &= g_{k+1}(\mu_a(u), \mu_a(v)). \end{aligned}$$

The proofs for other  $\phi$ -Fibonacci words are similar. □

The following result can be proved by induction and Lemma 4.51. We first observe that  $\theta_i = \theta_1 \mu_i = \mu_i \theta_1$  for  $1 \leq i \leq 10$ .

**Lemma 4.52.** *For  $i \in \{4, 5, 10\}$  and for all  $n \geq 1$ , the following relations between the atom alternating  $\phi$ -Fibonacci words  $g_n^{\theta_i}$  and the atom alternating  $\phi$ -Fibonacci words  $g_n^{\theta_i}(A, C)$  hold.*

1. If  $i = 10$ , for  $n \geq 1$ , we have that

$$g_n^{\theta_{10}}(A, C) = \begin{cases} g_n^{\theta_1}(T, C) : n \bmod 2 = 0, \\ g_n^{\theta_1}(A, G) : n \bmod 2 = 1. \end{cases}$$

2. If  $i = 5$ , for  $n \geq 1$ , we have that

$$g_n^{\theta_5}(A, C) = \begin{cases} g_n^{\theta_1}(A, C) : n \bmod 2 = 0 \\ g_n^{\theta_{10}}(A, C) : n \bmod 2 = 1 \end{cases} = \begin{cases} g_n^{\theta_1}(A, C) : n \bmod 2 = 0, \\ g_n^{\theta_1}(A, G) : n \bmod 2 = 1. \end{cases}$$

3. If  $i = 4$ , for  $n \geq 1$ , we have that

$$g_n^{\theta_4}(A, C) = \begin{cases} g_n^{\theta_{10}}(A, C) : n \bmod 2 = 0 \\ g_n^{\theta_1}(A, C) : n \bmod 2 = 1 \end{cases} = \begin{cases} g_n^{\theta_1}(T, C) : n \bmod 2 = 0, \\ g_n^{\theta_1}(A, C) : n \bmod 2 = 1. \end{cases}$$

*Proof.* We only prove statement (1) by induction on  $n$ , as the other cases are similar. By definition of  $g_n$  (Definition 4.9), the result holds for  $n = 1$  and  $n = 2$ . Assume the

statement to be true for  $g_i^{\theta_{10}}(A, C)$ , where  $3 \leq i < k$ . If  $k$  is even, then  $k \bmod 2 = 0$  and by the inductive hypothesis,

$$\begin{aligned} g_k^{\theta_{10}}(A, C) &= \theta_{10}(g_{k-1}^{\theta_{10}}(A, C))g_{k-2}^{\theta_{10}}(A, C) = \theta_{10}(g_{k-1}^{\theta_1}(A, G))g_{k-2}^{\theta_1}(T, C) \\ &= \theta_1(\mu_{10}(g_{k-1}^{\theta_1}(A, G)))g_{k-2}^{\theta_1}(T, C). \end{aligned}$$

Then by Lemma 4.51, we have

$$g_k^{\theta_{10}}(A, C) = \theta_1(g_{k-1}^{\theta_1}(\mu_{10}(A), \mu_{10}(G)))g_{k-2}^{\theta_1}(T, C) = \theta_1(g_{k-1}^{\theta_1}(T, C))g_{k-2}^{\theta_1}(T, C) = g_k^{\theta_1}(T, C).$$

The case when  $k$  is odd is similar.  $\square$

Hence, we conclude the following.

**Theorem 4.53.** *For all  $n \geq 1$  and  $\phi \in \{\theta_4, \theta_5, \theta_{10}\}$ , the atom  $\phi$ -Fibonacci word  $g_n^\phi(A, C)$  is primitive.*

*Proof.* It is clear from Corollary 4.50 that the atom  $\phi$ -Fibonacci words  $g_n^{\theta_1}(T, C)$ ,  $g_n^{\theta_1}(A, G)$ , and  $g_n^{\theta_1}(A, C)$  are primitive for  $n \geq 1$ . Hence, by Lemma 4.52, we conclude that  $g_n^\phi(A, C)$  are primitive for all  $n \geq 1$  and  $\phi \in \{\theta_4, \theta_5, \theta_{10}\}$ .  $\square$

We now show (Theorem 4.54) that for all  $\mu = \mu_i$  and  $i \in \{4, 5, 10\}$ , the atom  $\mu$ -Fibonacci words  $g_n$  are primitive for all  $n \geq 1$ .

**Theorem 4.54.** *Let  $\phi \in \{\mu_4, \mu_5, \mu_{10}\}$ . For all  $n \geq 1$ , the atom  $\phi$ -Fibonacci word  $g_n^\phi(A, C)$  is primitive.*

*Proof.* By Theorem 4.21, we have  $g_n^\phi(A, C) = f_n(A, \phi(C))$  if  $n$  is odd and  $g_n^\phi(A, C) = f_n(\phi(A), C)$  if  $n$  is even. Note that  $\phi(A) \neq C$  and  $\phi(C) \neq A$  for  $\phi \in \{\mu_4, \mu_5, \mu_{10}\}$ . Then, by Theorem 4.5, the word  $g_n^\phi(A, C)$  is primitive for  $\phi \in \{\mu_4, \mu_5, \mu_{10}\}$  and  $n \geq 1$ .  $\square$

We have the following theorem.

**Theorem 4.55.** *Let  $\phi \in \{\mu_2, \theta_2\}$ . For all  $n \geq 3$ , the atom  $\phi$ -Fibonacci word  $g_n^\phi(A, C)$  is not primitive.*

*Proof.* Note that for  $\phi \in \{\mu_2, \theta_2\}$ ,  $\phi$  maps  $A$  to  $C$  and vice versa, so, by Proposition 4.19,  $g_n^\phi = A^{F_n}$  if  $n$  is odd and  $g_n^\phi = C^{F_n}$  if  $n$  is even. Thus,  $g_n^\phi$  is not primitive for  $\phi \in \{\mu_2, \theta_2\}$  for  $n \geq 3$ .  $\square$

## 4.6.2 Atom palindromic $\phi$ -Fibonacci words

In this subsection, we discuss the primitivity of atom palindromic  $\phi$ -Fibonacci words. In Table 4.6, we give the first few values of the sequences  $\{w_n^\phi(A, C)\}_{n \geq 1}$  for (anti)morphic involutions  $\phi \in \{\mu_1, \mu_2, \mu_4, \mu_5, \mu_{10}, \theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}\}$ .

$\phi$	$w_3^\phi(A, C)$	$w_4^\phi(A, C)$	$w_5^\phi(A, C)$	$w_6^\phi(A, C)$	$w_7^\phi(A, C)$
$\mu_1$	AC	CAC	CACCA	CACCACAC	CACCACACCACCA
$\mu_2$	AC	CAA	ACCCA	CAAACACC	ACCCACAACAAAC
$\mu_4$	CT	CAC	CTCCA	CACCTCTC	CTCCACACCACCT
$\mu_5$	GA	CAG	GACCA	CAGGAGAC	GACCACAGCAGGA
$\mu_{10}$	GT	CAG	GTCCA	CAGGTGTC	GTCCACAGCAGGT
$\theta_1$	CA	ACC	CCAAC	CAACCCCA	ACCCCAACCAACC
$\theta_2$	AC	ACA	CACAC	ACACACAC	ACACACACACACA
$\theta_4$	CT	ACC	CCTAC	CTACCCCT	ACCCCTACCTACC
$\theta_5$	GA	ACG	CGAAC	GAACGCGA	ACGCGAACGAACG
$\theta_{10}$	GT	ACG	CGTAC	GTACGCGT	ACGCGTACGTACG

Table 4.6: List of words  $w_n^\phi(A, C)$ , where  $3 \leq n \leq 7$  and  $\phi \in \{\mu_1, \mu_2, \mu_4, \mu_5, \mu_{10}, \theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}\}$ .

Using the definition of  $\phi$  and  $w_n^\phi$  and induction, we calculate the number of occurrences of letters in the words  $w_n^\phi(A, C)$  for  $n \geq 3$  and an (anti)morphic involution  $\phi \in \{\phi_1, \phi_4, \phi_5, \phi_{10}\}$ . These values are summarized in Table 4.7.

We now discuss the primitivity of  $w_n^{\mu_2}(A, C)$  for all  $n \geq 1$ , and we use the following lemma.

**Lemma 4.56.** *Let  $\Sigma$  be an alphabet and  $a, b \in \Sigma$  be letters. The following hold.*

1. *For all  $n \geq 1$ ,  $F_n \bmod 2 = 0$  if and only if  $n \bmod 3 = 0$ .*
2. *For  $\phi \in \{\mu_2, \mu_8\}$  and for all  $n \geq 2$ ,  $w_{3n}^\phi(a, b) \neq x\phi(x)$  where  $x \in \Sigma^+$ .*

*Proof.* Statement (1) can be proved easily by induction and using properties of modulo operation. We now prove statement (2) for the case  $\phi = \mu_2$  (the case when  $\phi = \mu_8$  is similar). One can easily verify from Table 4.6 that the statement holds for  $n = 2$ . Assume now that  $w_{3i} \neq x\mu_2(x)$ , with  $x \in \Sigma^+$ , for all  $3 \leq i < k$ . Then, by definition of  $w_n$  (Definition 4.9) and by the inductive hypothesis, we have  $w_{3k} = \mu_2(w_{3k-1})\mu_2(w_{3k-2}) = w_{3k-2}w_{3k-3}\mu_2(w_{3k-2}) \neq w_{3k-2}x\mu_2(x)\mu_2(w_{3k-2})$ . Hence, the result holds.  $\square$



	$i = 1$	$i = 2$			$i = 5$		
$n \bmod 3$	$\geq 0$	0	1	2	0	1	2
$ w_n^{\phi_i}(A, C) _A$	$F_{n-2}$	$\frac{F_n}{2}$	$\frac{F_{n+1}}{2}$	$\frac{F_{n-1}}{2}$	$F_{n-2}$		
$ w_n^{\phi_i}(A, C) _C$	$F_{n-1}$		$\frac{F_{n-1}}{2}$	$\frac{F_{n+1}}{2}$	$\frac{F_{n-1}-1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}+1}{2}$
$ w_n^{\phi_i}(A, C) _G$	—	—			$\frac{F_{n-1}+1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}-1}{2}$
		$i = 4$			$i = 10$		
$n \bmod 3$		0	1	2	0	1	2
$ w_n^{\phi_i}(A, C) _A$		$\frac{F_{n-2}-1}{2}$	$\frac{F_{n-2}+1}{2}$	$\frac{F_{n-2}}{2}$	$\frac{F_{n-2}-1}{2}$	$\frac{F_{n-2}+1}{2}$	$\frac{F_{n-2}}{2}$
$ w_n^{\phi_i}(A, C) _C$		$F_{n-1}$			$\frac{F_{n-1}-1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}+1}{2}$
$ w_n^{\phi_i}(A, C) _G$		—			$\frac{F_{n-1}+1}{2}$		$\frac{F_{n-1}-1}{2}$
$ w_n^{\phi_i}(A, C) _T$		$\frac{F_{n-2}+1}{2}$	$\frac{F_{n-2}-1}{2}$	$\frac{F_{n-2}}{2}$	$\frac{F_{n-2}+1}{2}$	$\frac{F_{n-2}-1}{2}$	$\frac{F_{n-2}}{2}$

Table 4.7: The numbers of occurrences of letters in the atom palindromic  $\phi_i$ -Fibonacci words  $w_n^{\phi_i}(A, C)$  for  $\phi_i \in \{\theta_i, \mu_i\}$ ,  $i \in \{1, 2, 4, 5, 10\}$  and  $n \geq 3$ .

**Proposition 4.57.** *Let  $\phi = \mu_2$ . For all  $n \geq 1$  such that  $n \bmod 3 = 0$ , the atom palindromic  $\phi$ -Fibonacci word  $w_n^{\mu_2}(A, C)$  is primitive.*

*Proof.* By Table 4.6,  $w_n$  is primitive for  $1 \leq n \leq 7$ . Suppose  $w_n$  is not primitive for  $n > 7$  and  $n \bmod 3 = 0$ , then we have  $w_n = p^j$ , where  $j \geq 2$  and  $p \in Q$ . By definition of  $w_n$  (Definition 4.9), the word  $w_n$  can be decomposed as

$$w_n = \mu_2(w_{n-1})\mu_2(w_{n-2}) = w_{n-2}w_{n-3}w_{n-3}w_{n-4} = w_{n-4}w_{n-5}\mu_2(w_{n-4})w_{n-3}w_{n-3}w_{n-4}.$$

Let  $y = w_{n-4}w_{n-5}\mu_2(w_{n-4})w_{n-3}w_{n-3}$  such that  $w_n = yx$  and  $x = w_{n-4}$ . Note that  $(n-4) \bmod 3 = 2$  and by Table 4.7, we have  $|w_n|_A = |w_n|_C$  and  $|x|_A+1 = |x|_C$ , so  $|y|_A = |y|_C+1$ . Hence, by Lemma 4.4 and Lemma 4.8, both  $y$  and  $x$  are primitive. Since  $x = w_{n-4}$ , we have  $|x| = F_{n-4} \geq \frac{7F_{n-4}-F_{n-8}}{7} - 1 = \frac{F_n}{7} - 1$ . For  $j \geq 7$ , we get  $|x| \geq \frac{F_n}{j} - 1 \geq \frac{F_n}{j} - \gcd(|p|, |y|) = |p| - \gcd(|p|, |y|)$ , as  $\gcd(|p|, |y|) \geq 1$ . Then, by Proposition 4.7, we have  $p = y$ , which is impossible. Hence,  $w_n \neq p^j$  for  $j \geq 7$  and  $p \in Q$ .

We now consider the cases when  $2 \leq j \leq 6$ . We split it into three cases when  $j$  is even,  $j = 3$ , and  $j = 5$ .

- If  $j$  is even, then  $w_n$  can be written as  $w_n = pp$ , where  $|p| = \frac{F_n}{2} > 4$ . By Lemma 4.56,  $|w_{n-3}|$  is even, so there exist  $x, y \in \Delta^+$  such that  $|x| = |y|$  and  $w_{n-3} = xy$ . Then, by definition  $w_n = w_{n-2}w_{n-3}\mu_2(w_{n-2})$ , we have  $p = w_{n-2}x = y\mu_2(w_{n-2})$  for  $w_{n-3} = xy$ . Thus,  $p = w_{n-2}x = \mu_2(w_{n-3})\mu_2(w_{n-4})x = \mu_2(x)\mu_2(y)\mu_2(w_{n-4})x = y\mu_2(w_{n-2})$  implies  $y = \mu_2(x)$  and  $w_{n-3} = x\mu_2(x)$ , which contradicts Lemma 4.56, so  $j$  cannot be even.

- If  $j = 3$ , then by induction, we have  $F_n \bmod 3 = 0$  if and only if  $n \bmod 4 = 0$ . Therefore, if  $n \bmod 4 \neq 0$ , then  $w_n$  cannot be written as  $w_n = q^3$ , where  $q \in Q$ , so we only need to consider the case where  $n \bmod 12 = 0$ . Note that the word  $w_n$  can be written as

$$\begin{aligned} w_n &= \mu_2(w_{n-3})\mu_2(w_{n-4})w_{n-3}w_{n-3}w_{n-4} \\ &= w_{n-4}w_{n-5}\mu_2(w_{n-4})\mu_2(w_{n-4})\mu_2(w_{n-5})\mu_2(w_{n-4})\mu_2(w_{n-5})w_{n-4} = q^3 \end{aligned}$$

and  $|F_{n-4}|$  is divisible by 3. Then, there exist  $x, y, r \in \Delta^+$  such that  $|x| = |y| = |r|$  and  $w_{n-4} = xyr$ . Since  $w_n = q^3$ , we have

$$q = xyrw_{n-5}\mu_2(xy) = \mu_2(r)\mu_2(xyr)\mu_2(w_{n-5})\mu_2(x) = \mu_2(yr)\mu_2(w_{n-5})xyr.$$

Thus, we have  $x = \mu_2(y) = \mu_2(r) = y$ , which is a contradiction because  $\mu_2$  is not the identity mapping. Hence,  $j \neq 3$ .

- If  $j = 5$ , by induction, we have  $F_n \bmod 5 = 0$  if and only if  $n \bmod 5 = 0$ . Therefore, if  $n \bmod 5 \neq 0$ ,  $w_n$  cannot be written as  $w_n = q^5$ , where  $q \in Q$ , so we only need to consider the case where  $n \bmod 15 = 0$ . Note that the word  $w_n$  can be written as  $w_n = w_{n-4}w_{n-5}\mu_2(w_{n-4})\mu_2(w_{n-4})\mu_2(w_{n-5})\mu_2(w_{n-4})\mu_2(w_{n-5})w_{n-4} = q^5$  and  $|F_{n-5}|$  is divisible by 5. Then, there exist  $x, y, r, s, t \in \Delta^+$  such that  $|x| = |y| = |r| = |s| = |t|$  and  $w_{n-5} = xyrst$ . Since  $w_n = q^5$ , we have  $q = w_{n-4}xyr = st\mu_2(w_{n-4})s' = t'\mu_2(xyrs) = \mu_2(t)\mu_2(w_{n-4})\mu_2(xy) = \mu_2(rst)w_{n-4}$ , where  $\mu_2(w_{n-4}) = s't'$  for some  $s', t' \in \Delta^+$ . Then, we have  $r = \mu_2(r)$ , which is a contradiction because  $\mu_2$  is not the identity mapping. Hence,  $j \neq 5$ .

□

**Theorem 4.58.** *Let  $\phi \in \{\theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}, \mu_2, \mu_4, \mu_5, \mu_{10}\}$ . The primitivity properties of the atom palindromic  $\phi$ -Fibonacci words  $w_n^\phi(A, C)$  for  $n \geq 3$ , are as follows:*

1. For  $\phi = \theta_2$ , the atom  $\phi$ -Fibonacci word  $w_n^{\theta_2}(A, C)$  is primitive if and only if  $n \bmod 3 \neq 0$ .
2. If  $\phi \in \{\theta_1, \theta_4, \theta_5, \theta_{10}, \mu_2, \mu_4, \mu_5, \mu_{10}\}$ , the atom  $\phi$ -Fibonacci word  $w_n^\phi(A, C)$  is primitive.

*Proof.* 1. Given that  $\phi = \theta_2$ . From Table 4.6, we have  $w_3^{\theta_2} = AC$ , which is primitive. By Proposition 4.19, the words  $w_n^{\theta_2}$  are not primitive for  $n > 3$  and  $n \bmod 3 = 0$ . Conversely, if  $n \bmod 3 \neq 0$ , then by Table 4.7,  $\gcd(|w_n^{\theta_2}|_A, |w_n^{\theta_2}|_C) = 1$  for all  $n \geq 3$ . Therefore, by Lemma 4.8, the words  $w_n^{\theta_2}$  are primitive for  $n \geq 3$  and  $n \bmod 3 \neq 0$ .

2. For  $\phi = \mu_2$ , by Proposition 4.57, the words  $w_n^{\mu_2}$  are primitive for  $n \bmod 3 = 0$ . By Table 4.7, for the converse and for all other cases of  $\phi$ , there exist two letters  $a, b \in \Delta$ , where  $\gcd(|w_n^\phi|_a, |w_n^\phi|_b) = 1$ , for all  $n \geq 3$ . Therefore, by Lemma 4.4 and Lemma 4.8, the words  $w_n^\phi$  are primitive for all  $n \geq 3$ .

□

### 4.6.3 Atom hairpin $\phi$ -Fibonacci words

In Table 4.8, we begin by giving the first few values of the sequences  $\{z_n^\phi(A, C)\}_{n \geq 1}$  for (anti)morphic involutions  $\phi \in \{\mu_1, \mu_2, \mu_4, \mu_5, \mu_{10}, \theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}\}$ .

$\phi$	$z_3^\phi(A, C)$	$z_4^\phi(A, C)$	$z_5^\phi(A, C)$	$z_6^\phi(A, C)$	$z_7^\phi(A, C)$
$\mu_1$	CA	CAC	CACCA	CACCACAC	CACCACACCACCA
$\mu_2$	CC	CCA	CCAAA	CCAAAAC	CCAAAACAACCC
$\mu_4$	CT	CTC	CTCCA	CTCCACAC	CTCCACACCACCT
$\mu_5$	CA	CAG	CAGGA	CAGGAGAC	CAGGAGACGACCA
$\mu_{10}$	CT	CTG	CTGGA	CTGGAGAC	CTGGAGACGACCT
$\theta_1$	CA	CAC	CACAC	CACCACAC	CACCACCACAC
$\theta_2$	CC	CCA	CCAAA	CCAAACAA	CCAAACAACCCAA
$\theta_4$	CT	CTC	CTCAC	CTCACCAC	CTCACCACCTCAC
$\theta_5$	CA	CAG	CAGAG	CAGAGCAG	CAGAGCAGCACAG
$\theta_{10}$	CT	CTG	CTGAG	CTGAGCAG	CTGAGCAGCTCAG

Table 4.8: List of words  $z_n^\phi(A, C)$ , where  $3 \leq n \leq 7$  and  $\phi \in \{\mu_1, \mu_2, \mu_4, \mu_5, \mu_{10}, \theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}\}$ .

Similar to that of Table 4.7, we calculate the number of occurrences of letters in the words  $z_n^\phi(A, C)$ , for all  $n \geq 3$  and  $\phi \in \{\phi_1, \phi_4, \phi_5, \phi_{10}\}$ , as summarized in Table 4.9.

**Lemma 4.59.** *Let  $\phi \in \{\theta_2, \mu_2\}$ . For all  $n > 3$ , the atom hairpin  $\phi$ -Fibonacci word  $z_n^\phi(A, C)$  cannot be a square.*

*Proof.* First, we consider the case where  $\phi = \theta_2$ . By Table 4.8, the statement is true for  $4 \leq n \leq 7$ . Assuming that the statement holds for  $z_i^\phi(A, C)$ , where  $7 \leq i < k$ , we now prove it for  $z_k^\phi(A, C)$ . We only need to consider the condition where  $k \bmod 3 = 0$ , since by induction, we have  $F_k \bmod 2 = 0$  if and only if  $k \bmod 3 = 0$ . By definition of  $z_n$  (Definition 4.9), we have  $z_k = z_{k-2}\theta_2(z_{k-3})\theta_2(z_{k-2}) = pp$ . Since  $(k-3) \bmod 3 =$

	$i = 1$	$i = 2$				$i = 5$		
$n \bmod 6$	$\geq 0$	0	1, 5	2, 4	3	0, 5	1, 4	2, 3
$ z_n^{\phi_i}(A, C) _A$	$F_{n-2}$	$\frac{F_n}{2} + 1$	$\frac{F_n+1}{2}$	$\frac{F_n-1}{2}$	$\frac{F_n}{2} - 1$	$F_{n-2}$		
$ z_n^{\phi_i}(A, C) _C$	$F_{n-1}$	$\frac{F_n}{2} - 1$	$\frac{F_n-1}{2}$	$\frac{F_n+1}{2}$	$\frac{F_n}{2} + 1$	$\frac{F_{n-1}-1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}+1}{2}$
$ z_n^{\phi_i}(A, C) _G$	—	—				$\frac{F_{n-1}+1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}-1}{2}$

	$i = 4$			$i = 10$					
$n \bmod 6$	0, 1	2, 5	3, 4	0	1	2	3	4	5
$ z_n^{\phi_i}(A, C) _A$	$\frac{F_{n-2}+1}{2}$	$\frac{F_{n-2}}{2}$	$\frac{F_{n-2}-1}{2}$	$\frac{F_{n-2}+1}{2}$		$\frac{F_{n-2}}{2}$	$\frac{F_{n-2}-1}{2}$		$\frac{F_{n-2}}{2}$
$ z_n^{\phi_i}(A, C) _C$	$F_{n-1}$			$\frac{F_{n-1}-1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}+1}{2}$		$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}-1}{2}$
$ z_n^{\phi_i}(A, C) _G$	—			$\frac{F_{n-1}+1}{2}$	$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}-1}{2}$		$\frac{F_{n-1}}{2}$	$\frac{F_{n-1}+1}{2}$
$ z_n^{\phi_i}(A, C) _T$	$\frac{F_{n-2}-1}{2}$	$\frac{F_{n-2}}{2}$	$\frac{F_{n-2}+1}{2}$	$\frac{F_{n-2}-1}{2}$		$\frac{F_{n-2}}{2}$	$\frac{F_{n-2}+1}{2}$		$\frac{F_{n-2}}{2}$

Table 4.9: The numbers of occurrences of letters in the atom hairpin  $\phi_i$ -Fibonacci words  $z_n^{\phi_i}(A, C)$  for  $\phi_i \in \{\theta_i, \mu_i\}$ ,  $i \in \{1, 2, 4, 5, 10\}$  and  $n \geq 3$ .

$F_{k-3} \bmod 2 = 0$ , there exist  $x, y \in \Delta^+$  such that  $z_{k-3} = xy$  and  $|x| = |y|$ . Here,  $p = z_{k-2}\theta_2(y)$  and  $p = \theta_2(x)\theta_2(z_{k-2}) = \theta_2(x)z_{k-4}\theta_2(z_{k-3}) = \theta_2(x)z_{k-4}\theta_2(y)\theta_2(x)$ . Therefore,  $\theta_2(x) = \theta_2(y)$ , so  $z_{k-3} = x^2$ , which contradicts the inductive hypothesis.

Next, we consider the case where  $\phi = \mu_2$ . By Table 4.8, the statement is true for  $4 \leq n \leq 7$ . Assuming the statement holds for  $z_i^{\phi}(A, C)$ , where  $7 \leq i < k$ , we now prove it for  $z_k^{\phi}(A, C)$ . We only need to consider the condition where  $k \bmod 3 = 0$ , since by induction, we have  $F_k \bmod 2 = 0$  if and only if  $k \bmod 3 = 0$ . By definition of  $z_n$  (Definition 4.9), we have  $z_k = z_{k-2}\mu_2(z_{k-3})\mu_2(z_{k-2}) = pp$ . Since  $(k-3) \bmod 3 = F_{k-3} \bmod 2 = 0$ , so there exist  $x, y \in \Delta^+$  such that  $z_{k-3} = xy$  and  $|x| = |y|$ . We now have  $p = z_{k-2}\mu_2(x) = z_{k-3}\mu_2(z_{k-4})\mu_2(x) = xy\mu_2(z_{k-4})\mu_2(x)$ , and  $p = \mu_2(y)\mu_2(z_{k-2}) = \mu_2(y)\mu_2(z_{k-3})z_{k-4} = \mu_2(yxy)z_{k-4}$ . This implies  $x = \mu_2(y)$  and  $\mu_2(z_{k-4})\mu_2(x) = xz_{k-4}$ . Note that  $z_{k-3} = z_{k-4}\mu_2(z_{k-5}) = xy$ , so  $z_{k-4} = x\mu_2(y_1)$  for some  $y = y_1y_2$ . Thus,  $xz_{k-4} = xx\mu_2(y_1) = \mu_2(z_{k-4})\mu_2(x) = \mu_2(xy_1)\mu_2(x)$ , which implies  $x = \mu_2(x)$ , so  $z_{k-3} = x^2$ , which is a contradiction.  $\square$

**Theorem 4.60.** *Let  $\phi \in \{\theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}, \mu_2, \mu_4, \mu_5, \mu_{10}\}$ . For all  $n \geq 1$ , we have:*

1. *If  $\phi \in \{\theta_2, \mu_2\}$  and  $n \neq 3$ , then the atom hairpin  $\phi$ -Fibonacci word  $z_n^{\phi}(A, C)$  is primitive.*
2. *If  $\phi \in \{\theta_1, \theta_4, \theta_5, \theta_{10}, \mu_4, \mu_5, \mu_{10}\}$ , then the atom hairpin  $\phi$ -Fibonacci word  $z_n^{\phi}(A, C)$  is primitive.*

*Proof.* 1. Let  $\phi \in \{\theta_2, \mu_2\}$ . Note that  $z_3 = \text{CC}$  is not primitive. By Table 4.9, for  $n \bmod 6 \in \{1, 2, 4, 5\}$ , we have  $\gcd(|z_n^\phi|_A, |z_n^\phi|_C) = 1$ , so by Lemma 4.8, the word  $z_n^\phi$  is primitive in these cases. For  $n \bmod 6 \in \{0, 3\}$ , the number of occurrences of A and C are even or odd integers that are consecutive and positive. If they are consecutive positive odd integers, by Lemma 4.8, the word  $z_n^\phi$  is primitive. If they are consecutive positive even integers, the only non-trivial common divisor is 2, and we can prove that  $z_n^\phi$  is primitive by contradiction. Assume  $z_n^\phi$  is not primitive in this case, which means that  $z_n^\phi = p^i$  (refer to proof of Lemma 4.8 to show that  $i = 2$ ), where  $p \in Q$ , and this contradicts Lemma 4.59.

2. By Table 4.9, for all other cases of  $\phi$ , there exist two letters  $a, b \in \Delta$ , where  $\gcd(|z_n^\phi|_a, |z_n^\phi|_b) = 1$  for all  $n \geq 3$ . Therefore, by Lemma 4.8, the word  $z_n^\phi$  is primitive for all  $n \geq 3$ .

□

Let  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$  and let  $\phi \in \{\theta_1, \theta_2, \theta_4, \theta_5, \theta_{10}, \mu_2, \mu_4, \mu_5, \mu_{10}\}$ . Based on Corollary 4.50, Theorem 4.53, Theorem 4.54, Theorem 4.55, Theorem 4.58, and Theorem 4.60, we conclude that the words  $g_n^{\theta_2}$  and  $g_n^{\mu_2}$  are not primitive for all  $n \geq 3$ , the word  $w_n^{\mu_2}$  is primitive if  $n \bmod 3 \neq 0$  and  $n \geq 3$ , and for all other cases, the word  $\alpha_n^\phi$  is primitive. These are summarized in Table 4.10.

	$i \in \{1, 7\}$	$i \in \{2, 8\}$	$i \in \{3, 4\}$	$i \in \{5, 6\}$	$i \in \{9, 10\}$
$g_n^{\theta_i}(A, C)$	✓	✗ (except $n = 1, 2$ )	✓	✓	✓
$g_n^{\mu_i}(A, C)$	✓	✗ (except $n = 1, 2$ )	✓	✓	✓
$w_n^{\theta_i}(A, C)$	✓	✓ (except $n \bmod 3 = 0, n > 3$ )	✓	✓	✓
$w_n^{\mu_i}(A, C)$	✓	✓	✓	✓	✓
$z_n^{\theta_i}(A, C)$	✓	✓ (except $n = 3$ )	✓	✓	✓
$z_n^{\mu_i}(A, C)$	✓	✓ (except $n = 3$ )	✓	✓	✓

Table 4.10: Primitivity of atom  $\phi$ -Fibonacci words  $\alpha_n^\phi(A, C)$  for all  $n \geq 1$ , with different initial letters  $A, C \in \Delta$ , where  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ , and  $\phi \in \{\theta_i, \mu_i \mid 1 \leq i \leq 10\}$  (here, ✓ means that the words are primitive, and ✗ means that they are not primitive).

## 4.7 Primitivity of atom $\phi$ -Fibonacci words with identical initial letters

In this section, we discuss the primitivity of atom  $\phi$ -Fibonacci words  $\alpha_n^\phi(a, a)$  with identical initial letters for all  $n \geq 1$ , where  $a \in \Sigma_4$ ,  $\phi \in \{\theta_i \mid 1 \leq i \leq 10\} \cup \{\mu_i \mid 1 \leq i \leq 10\}$ , and  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . The primitivity results of this section hold for every choice of  $(x_1, x_2, x_3, x_4)$  and with  $x_1$  and  $x_1$  as the initial letters of the  $\phi$ -Fibonacci sequence. Therefore, we only prove primitivity results for one of the cases, the sequence (A, C, G, T) over the DNA alphabet  $\Delta$ , with A and A as the first two initial letters.

We can classify  $\phi$  into two categories, where  $\phi(a) = a$  and  $\phi(a) \neq a$ . If  $\phi(a) = a$ , then for all  $n \geq 1$  we have that  $\alpha_n^\phi(a, a) = a^{F_n}$ , where  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . Hence,  $\alpha_n^\phi(a, a)$  is not primitive for all  $n \geq 3$ . Therefore, we only need to consider the case where  $\phi(a) \neq a$ . The set of all (anti)morphic involutions  $\phi$  for the sequence  $(x_1, x_2, x_3, x_4)$  with  $x_1 = a$  and  $\phi_i(a) \neq a$  is  $\{\phi_i \mid i = 2, 3, 4, 8, 9, 10\}$ . It is enough if we discuss the primitivity for one of such  $\phi_i$ , say  $\phi_2$ . We first show that it is sufficient to study the primitivity only for  $\alpha_n^{\phi_2}(a, a)$ , where  $n \geq 1$ .

We use the following lemma.

**Lemma 4.61.** *Let  $\phi_i \in \{\mu_i, \theta_i\}$ ,  $i \in \{2, 3, 4, 8, 9, 10\}$ , be an (anti)morphic involution on  $\Sigma_4^*$  and  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . For all  $n \geq 1$ , the following equalities hold regarding  $\phi_i$ -Fibonacci words  $\alpha_n^{\phi_i}(x_1, x_1)$ :*

- $\phi_2(\alpha_n^{\phi_2}(x_1, x_1)) = \phi_8(\alpha_n^{\phi_8}(x_1, x_1))$  if and only if  $\alpha_n^{\phi_2}(x_1, x_1) = \alpha_n^{\phi_8}(x_1, x_1)$ .
- $\phi_3(\alpha_n^{\phi_3}(x_1, x_1)) = \phi_9(\alpha_n^{\phi_9}(x_1, x_1))$  if and only if  $\alpha_n^{\phi_3}(x_1, x_1) = \alpha_n^{\phi_9}(x_1, x_1)$ .
- $\phi_4(\alpha_n^{\phi_4}(x_1, x_1)) = \phi_{10}(\alpha_n^{\phi_{10}}(x_1, x_1))$  if and only if  $\alpha_n^{\phi_4}(x_1, x_1) = \alpha_n^{\phi_{10}}(x_1, x_1)$ .
- $[\phi_2(\alpha_n^{\phi_2}(x_1, x_2))]_{x_2 \rightarrow x_3} = \phi_3(\alpha_n^{\phi_3}(x_1, x_2))$  if and only if  $[\alpha_n^{\phi_2}(x_1, x_2)]_{x_2 \rightarrow x_3} = \alpha_n^{\phi_3}(x_1, x_2)$ .
- $[\phi_2(\alpha_n^{\phi_2}(x_1, x_2))]_{x_2 \rightarrow x_4} = \phi_4(\alpha_n^{\phi_4}(x_1, x_2))$  if and only if  $[\alpha_n^{\phi_2}(x_1, x_2)]_{x_2 \rightarrow x_4} = \alpha_n^{\phi_4}(x_1, x_2)$ .

*Proof.* The proof, by induction on  $n$ , is similar to that of Lemma 4.46. □

Based on Lemma 4.61, we have the following result.

**Lemma 4.62.** *Let  $\phi_i \in \{\theta_i, \mu_i\}$ ,  $i \in \{2, 3, 4, 8, 9, 10\}$ , be an (anti)morphic involution on  $\Sigma_4^*$ , and let  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ . For all  $n \geq 1$ , the following equalities regarding  $\phi_i$ -Fibonacci words  $\alpha_n^{\phi_i}(x_1, x_1)$  hold:*

- $\alpha_n^{\phi_2}(x_1, x_1) = \alpha_n^{\phi_8}(x_1, x_1)$ .
- $[\alpha_n^{\phi_2}(x_1, x_1)]_{x_2 \rightarrow x_3} = \alpha_n^{\phi_3}(x_1, x_1) = \alpha_n^{\phi_9}(x_1, x_1)$ .
- $[\alpha_n^{\phi_2}(x_1, x_1)]_{x_2 \rightarrow x_4} = \alpha_n^{\phi_4}(x_1, x_1) = \alpha_n^{\phi_{10}}(x_1, x_1)$ .

*Proof.* The proof by induction on  $n$  and using Lemma 4.61 is similar to that of Lemma 4.47.  $\square$

One can easily observe that for  $\alpha_n^\phi(a, a)$ , we have  $|\text{Alph}(\alpha_n^\phi(a, a))| \leq 2$  for all  $n \geq 3$ , where  $\phi$  is an (anti)morphic involution and  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 3$ . Thus, by Lemma 4.62 and Lemma 4.48, it is enough to discuss the primitivity for  $\alpha_n^{\phi_2}(x_1, x_1)$ ,  $n \geq 3$ . As the choice of initial letter does not matter, we choose for convenience A and A to be the two initial letters. We now study the primitivity of the words  $\alpha_n^{\phi_2}(A, A)$  for all  $n \geq 3$ , where  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 3$ .

### 4.7.1 Atom alternating $\phi$ -Fibonacci words

The first few values of the sequence  $\{g_n^\phi(A, A)\}_{n \geq 1}$  for  $\phi \in \{\mu_2, \theta_2\}$  are given in Table 4.11.

$\phi$	$g_3^\phi(A, A)$	$g_4^\phi(A, A)$	$g_5^\phi(A, A)$	$g_6^\phi(A, A)$	$g_7^\phi(A, A)$
$\mu_2$	CA	ACA	CACCA	ACAACACA	CACCACACCACCA
$\theta_2$	CA	CAA	CCACA	CACAACAA	CCACCACACCACA

Table 4.11: List of words  $g_n^\phi(A, A)$ , where  $3 \leq n \leq 7$  and  $\phi \in \{\mu_2, \theta_2\}$ .

We first show that for a morphic involution  $\mu_2$ , the  $\mu_2$ -Fibonacci words  $g_n$  with identical initial letters are primitive. The proof is similar to that of Theorem 4.54.

**Theorem 4.63.** *Let  $\phi = \mu_2$ . For all  $n \geq 1$ , the atom alternating  $\phi$ -Fibonacci word  $g_n^{\mu_2}(A, A)$  is primitive.*

*Proof.* By Theorem 4.21, we have  $g_n^\phi(A, A) = f_n(A, \phi(A))$  if  $n$  is odd and  $g_n^\phi(A, A) = f_n(\phi(A), A)$  if  $n$  is even. Note that  $\phi(A) \neq A$  for  $\phi = \mu_2$ . Then, by Theorem 4.5, the word  $g_n^\phi(A, A)$  is primitive for  $\phi = \mu_2$  and  $n \geq 1$ .  $\square$

We now discuss the primitivity of  $\theta_2$ -Fibonacci words  $g_n^{\theta_2}(A, A)$ ,  $n \geq 3$ . The following result can be proved by induction, and we omit the proof.

**Theorem 4.64.** *Let  $\phi \in \{\theta_1, \theta_2\}$ . For all  $n \geq 1$ , the atom alternating  $\phi$ -Fibonacci word  $g_n^{\theta_2}(A, A)$  can be represented by atom alternating  $\phi$ -Fibonacci words  $g_n^{\theta_1}(A, C)$  and  $g_n^{\theta_1}(C, A)$  as follows:*

$$g_n^{\theta_2}(A, A) = \begin{cases} g_n^{\theta_1}(C, A) : n \bmod 2 = 0, \\ g_n^{\theta_1}(A, C) : n \bmod 2 = 1. \end{cases}$$

*Proof.* The proof by induction on  $n$  and using Lemma 4.51 is similar to that of Lemma 4.52. □

Using Theorem 4.64 and Corollary 4.50, we have the following corollary.

**Corollary 4.65.** *Let  $\phi = \theta_2$ . For all  $n \geq 1$ , the atom alternating  $\phi$ -Fibonacci word  $g_n^{\theta_2}(A, A)$  is primitive.*

## 4.7.2 Atom palindromic $\phi$ -Fibonacci words

The first few values of the sequences  $\{w_n^\phi(A, A)\}_{n \geq 1}$  for  $\phi \in \{\mu_2, \theta_2\}$  are given in Table 4.12.

$\phi$	$w_3^\phi(A, A)$	$w_4^\phi(A, A)$	$w_5^\phi(A, A)$	$w_6^\phi(A, A)$	$w_7^\phi(A, A)$
$\mu_2$	CC	AAC	CCAAA	AACCCCCA	CCAAAAACAACCC
$\theta_2$	CC	AAC	ACCAA	CCAACACC	AACACCAACCAAC

Table 4.12: List of words  $w_n^\phi(A, A)$ , where  $3 \leq n \leq 7$  and  $\phi \in \{\mu_2, \theta_2\}$ .

Therefore, we have the following theorem.

**Theorem 4.66.** *Let  $\phi = \mu_2$ . For all  $n \geq 1$ , the atom palindromic  $\phi$ -Fibonacci word  $w_n^{\mu_2}(A, A)$  is primitive.*

*Proof.* We have by Theorem 4.21,  $w_n^{\mu_2}(A, A) = z_n^{\mu_2}(A, C)$  if  $n$  is odd and  $w_n^{\mu_2}(A, A) = z_n^{\mu_2}(C, A)$  if  $n$  is even. Therefore, by Theorem 4.60,  $w_n^{\mu_2}(A, A)$  is primitive for  $n \geq 1$ . □

We now count the number of occurrences of the letters  $A$  and  $C$  in the atom palindromic  $\phi_2$ -Fibonacci words.

**Lemma 4.67.** *Let  $\phi \in \{\mu_2, \theta_2\}$ . For all  $n \geq 1$ , the numbers of occurrences of letters in the atom palindromic  $\phi$ -Fibonacci word  $w_n^\phi(A, A)$  satisfy:*

$$|w_n^\phi|_A = \begin{cases} \frac{F_n}{2} - 1 : n \bmod 3 = 0, \\ \frac{F_n+1}{2} : n \bmod 3 \neq 0, \end{cases} \quad |w_n^\phi|_C = \begin{cases} \frac{F_n}{2} + 1 : n \bmod 3 = 0, \\ \frac{F_n-1}{2} : n \bmod 3 \neq 0. \end{cases}$$



*Proof.* The proof uses the fact that  $|w_{n+2}^\phi|_A = |w_{n+1}^\phi|_C + |w_n^\phi|_C$ ,  $|w_{n+2}^\phi|_C = |w_{n+1}^\phi|_A + |w_n^\phi|_A$  and is by induction on  $n$ .  $\square$

By induction on  $n$ , we have the following lemma.

**Lemma 4.68.** *Let  $\phi = \theta_2$ . For all  $n > 3$ , the atom palindromic  $\phi$ -Fibonacci word  $w_n^{\theta_2}(A, A)$  cannot be a square.*

*Proof.* The proof is by induction on  $n$ . One can easily check that the statement is true for  $4 \leq n \leq 10$ . We now assume that  $w_i^{\theta_2}(A, A)$  is not a square for all  $10 \leq i < k$ . We prove that this is true for  $w_k^{\theta_2}(A, A)$ . We only need to consider the condition where  $k \bmod 3 = 0$ , since by induction, we have  $F_k \bmod 2 = 0$  if and only if  $k \bmod 3 = 0$ . By definition of  $w_n$  (Definition 4.9), we have  $w_k = \theta_2(w_{k-1})\theta_2(w_{k-2}) = w_{k-3}w_{k-2}w_{k-4}w_{k-3} = w_{k-3}\theta_2(w_{k-3})\theta_2(w_{k-4})w_{k-4}w_{k-3} = w_{k-3}w_{k-5}w_{k-4}w_{k-6}w_{k-5}w_{k-4}w_{k-3} = pp$ . Since  $(k-6) \bmod 3 = F_{k-6} \bmod 2 = 0$ , there exist  $x, y \in \Delta^+$  such that  $w_{k-6} = xy$  and  $|x| = |y|$ . We now have

$$\begin{aligned} p &= w_{k-3}w_{k-5}w_{k-4}x = \theta_2(w_{k-4})\theta_2(w_{k-5})w_{k-5}w_{k-4}x = w_{k-6}w_{k-5}\theta_2(w_{k-5})w_{k-5}w_{k-4}x \\ &= xyw_{k-5}\theta_2(w_{k-5})w_{k-5}w_{k-4}x, \end{aligned}$$

and  $p = yw_{k-5}w_{k-4}w_{k-3}$ . Therefore, we have  $x = y$ , so  $w_{k-6} = x^2$ , which contradicts the inductive hypothesis.  $\square$

**Theorem 4.69.** *Let  $\phi = \theta_2$ . For  $n \geq 1$ , the atom palindromic  $\phi$ -Fibonacci word  $w_n^{\theta_2}(A, A)$  is primitive if and only if  $n \neq 3$ .*

*Proof.* The proof is similar to part (1) of the proof of Theorem 4.60 and uses Lemma 4.68.  $\square$

### 4.7.3 Atom hairpin $\phi$ -Fibonacci words

In Table 4.13, we give the first few values of the sequences  $\{z_n^\phi(A, A)\}_{n \geq 1}$  for  $\phi \in \{\mu_2, \theta_2\}$ .

**Theorem 4.70.** *Let  $\phi = \mu_2$ . For all  $n \geq 1$ , the atom hairpin  $\phi$ -Fibonacci word  $z_n^{\mu_2}(A, A)$  is primitive.*

*Proof.* We have by Theorem 4.21,  $z_n^{\mu_2}(A, A) = w_n^{\mu_2}(A, C)$  if  $n$  is odd and  $z_n^{\mu_2}(A, A) = w_n^{\mu_2}(C, A)$  if  $n$  is even. Therefore, by Theorem 4.58,  $z_n^{\mu_2}(A, A)$  is primitive for all  $n \geq 1$ .  $\square$

$\phi$	$z_3^\phi(A, A)$	$z_4^\phi(A, A)$	$z_5^\phi(A, A)$	$z_6^\phi(A, A)$	$z_7^\phi(A, A)$
$\mu_2$	AC	ACC	ACCCA	ACCCACAA	ACCCACAACAAAC
$\theta_2$	AC	ACC	ACCAC	ACCACAAC	ACCACAACACAAC

Table 4.13: List of words  $z_n^\phi(A, A)$ , where  $3 \leq n \leq 7$  and  $\phi \in \{\mu_2, \theta_2\}$ .

We now count the number of occurrences of the letters A and C in the atom hairpin  $\phi_2$ -Fibonacci words. The proof is by induction, and we omit it.

**Lemma 4.71.** *Let  $\phi \in \{\mu_2, \theta_2\}$ . For all  $n \geq 1$ , the numbers of occurrences of letters in the atom hairpin  $\phi$ -Fibonacci word  $z_n^\phi(A, A)$  satisfy:*

$$|z_n^\phi|_A = \begin{cases} \frac{F_n}{2} : n \bmod 6 = 0, 3, \\ \frac{F_{n+1}}{2} : n \bmod 6 = 1, 2, \\ \frac{F_{n-1}}{2} : n \bmod 6 = 4, 5, \end{cases} \quad |z_n^\phi|_C = \begin{cases} \frac{F_n}{2} : n \bmod 6 = 0, 3, \\ \frac{F_{n-1}}{2} : n \bmod 6 = 1, 2, \\ \frac{F_{n+1}}{2} : n \bmod 6 = 4, 5. \end{cases}$$

*Proof.* The proof is by induction on  $n$  and uses the fact that for all  $n \geq 1$ ,  $|z_{n+2}^\phi|_A = |z_{n+1}^\phi|_A + |z_n^\phi|_C$ ,  $|z_{n+2}^\phi|_C = |z_{n+1}^\phi|_C + |z_n^\phi|_A$ , where  $|z_1^\phi|_A = |z_2^\phi|_A = 1$  and  $|z_1^\phi|_C = |z_2^\phi|_C = 0$ . Hence, using inductive hypothesis, one can obtain the result for  $|z_k^\phi|_A$  and  $|z_k^\phi|_C$ .  $\square$

We next show that the atom hairpin  $\mu_2$ -Fibonacci words  $z_n^{\mu_2}(A, A)$  are primitive for  $n \geq 3$ . We need the following lemma, which can be proved by induction on  $n$ .

**Lemma 4.72.** *Let  $\phi = \theta_2$ . The following hold for all  $n \geq 1$ :*

1. *If  $n \bmod 3 = 0$ , then  $z_n^{\theta_2}(A, A) \neq q^2$  for every  $\theta_2$ -palindrome  $q$ .*
2. *If  $n \bmod 4 = 0$ , then  $z_n^{\theta_2}(A, A) \neq q^3$  for every  $\theta_2$ -palindrome  $q$ .*
3. *If  $n \bmod 5 = 0$ , then  $z_n^{\theta_2}(A, A) \neq q^5$  for every  $\theta_2$ -palindrome  $q$ .*

*Proof.* We only prove statement (1). Given that  $n \bmod 3 = 0$ . Then,  $F_n \bmod 2 = 0$ , and there exist  $x, y \in \Delta^+$  such that  $|z_n| = xy$  and  $|x| = |y|$ . One can easily verify the statement for  $n = 3$  and  $n = 6$ . Assume the statement to be true for  $z_i^{\theta_2}(A, A)$ , where  $i \bmod 3 = 0$  and  $3 \leq i < k$ . Let  $k$  be a number such that  $k \bmod 3 = 0$  and  $k > n$ . Suppose  $z_k = z_{k-1}\theta_2(z_{k-2}) = p^2$ , where  $p$  is a  $\theta_2$ -palindrome. Then,  $z_k = z_{k-1}\theta_2(z_{k-2}) = z_{k-2}\theta_2(z_{k-3})\theta_2(z_{k-2})$  and  $p = z_{k-2}x = y\theta_2(z_{k-2})$  for  $\theta_2(z_{k-3}) = xy$ . Since  $p$  is a  $\theta_2$ -palindrome,  $x = \theta_2(y)$  and  $z_{k-2} = z_{k-3}\theta_2(z_{k-4}) = x\theta_2(x)\theta_2(z_{k-4})$ . This implies that  $x = y = \theta_2(x)$  and hence  $z_{k-3} = x^2$ , which contradicts to our induction hypothesis. Hence, the result.  $\square$

The following result uses Lemma 4.72 and has a proof similar to that of Proposition 4.57.

**Theorem 4.73.** *Let  $\phi = \theta_2$ . For all  $n \geq 1$ , the atom hairpin  $\phi$ -Fibonacci word  $z_n^{\theta_2}(A, A)$  is primitive.*

Based on Corollary 4.65 and Theorem 4.63, Theorem 4.66, Theorem 4.69, Theorem 4.70, and Theorem 4.73, the results can be generalized to non-trivial  $\phi$ -Fibonacci words with the same initial letters. The primitivity properties of the  $n^{\text{th}}$  atom  $\phi$ -Fibonacci word with the same two initial letters, for all  $n \geq 1$ , are summarized in Table 4.14.

	$i \in \{2, 3, 4, 8, 9, 10\}$	$i \in \{1, 5, 6, 7\}$
$g_n^{\phi_i}(A, A)$	✓	✗
$w_n^{\phi_i}(A, A)$	✓ (except $n = 3$ )	✗
$z_n^{\phi_i}(A, A)$	✓	✗

Table 4.14: Primitivity of atom  $\phi$ -Fibonacci words  $\alpha_n^\phi(A, A)$  for all  $n \geq 1$ , with identical initial letters  $A \in \Delta$ , where  $\alpha_n \in \{g_n, w_n, z_n\}$  for all  $n \geq 1$ , and  $\phi \in \{\theta_i, \mu_i \mid 1 \leq i \leq 10\}$  (here, ✓ means that the words are primitive, and ✗ means that they are not primitive).

## 4.8 Conclusion

This chapter proposed a unified terminology (Definition 4.1) for the various definitions of Fibonacci words that exist in the literature. It also defined and investigated two generalizations of Fibonacci words, namely  $\phi$ -Fibonacci words (Definition 4.9) and indexed  $\phi$ -Fibonacci words (Definition 4.28), where  $\phi$  is a morphic or an antimorphic involution on  $\Sigma^*$ .

The results about  $(\theta)$ -borderedness and primitivity of various involutive Fibonacci words are important since they could lead to a method that generates arbitrarily long DNA words avoiding intramolecular structures. These results are summarized as follows.

According to Theorem 4.33, the standard and reverse hairpin  $\theta$ -Fibonacci words  $z_n$  and  $z'_n$  are  $\theta$ -bordered for  $n \geq 6$ , and thus form hairpins with fully double-stranded stems. One can easily observe that the standard palindromic  $\theta$ -Fibonacci words  $w_n$  and the reverse palindromic  $\theta$ -Fibonacci words  $w'_n$  form hairpin structures with partially double-stranded stems, as illustrated in Figure 2.6. In addition, according to Proposition 4.36, if the initial  $\theta$ -Fibonacci words  $u$  and  $v$  satisfy some additional conditions, then the standard alternating  $\theta$ -Fibonacci words  $g_n(u, v)$  and the standard palindromic  $\theta$ -Fibonacci words

$w_n(u, v)$  are  $\theta$ -bordered for  $n \geq 3$ , and thus they can form hairpins with fully double-stranded stems. Lastly, according to Proposition 4.40 and Proposition 4.41, the standard and reverse palindromic  $\theta$ -Fibonacci words  $w_n$  and  $w'_n$  contain  $\theta$ -palstars for  $n \geq 6$ , and thus they can self-assemble into DNA secondary structures containing multiple hairpin structures.

According to Section 4.6 and Section 4.7, the primitivity properties of atom involutive Fibonacci words over a four-letter alphabet indicate that, for some (anti)morphic involutions, some initial letters, and some indices  $n$ , the  $n^{\text{th}}$   $\phi$ -Fibonacci word is primitive, while for some others, it is not. In the particular case of the Watson-Crick complementarity involution  $\theta_{\text{DNA}}$  over the DNA alphabet  $\Delta = \{A, C, G, T\}$ , our results imply that regardless of the initial two letters in the Fibonacci recursion (different, or the same), the  $n^{\text{th}}$  atom Watson-Crick Fibonacci word is primitive for all  $n > 3$ . Although primitivity does not ensure the avoidance of DNA self-binding, this is an initial step towards the study of  $\theta$ -primitivity, where  $\theta$  is an antimorphic involution.

Future topics of research include investigating relations between various types of  $\phi$ -Fibonacci words for the antimorphic case (similar to the results obtained in Section 4.3.1 for the morphic case) and the study of the properties of  $\phi$ -Fibonacci words  $z_n$  in the special case when the first two  $\phi$ -Fibonacci words satisfy the relation  $\phi(u) = v$ . Other areas of investigation include the  $\phi$ -primitivity of  $\phi$ -Fibonacci words, as well as the combinatorial properties of  $\phi$ -Fibonacci words (counting their distinct factors, squares,  $\phi$ -squares, cubes,  $\phi$ -cubes, palindromes,  $\phi$ -palindromes, etc.).

## Chapter 5

# Complexity Estimation of DNA Computing Algorithms on the Subset Sum Problem

This chapter gives a scaling comparison of two implemented natural computing algorithms (DNA computing using DNA strands and network biocomputing using biotic motile agents) and an electronic computing algorithm to solve the benchmark NP-complete problem, the subset sum problem (SSP). Section 5.1 gives a brief introduction to this chapter. In Section 5.2, details about a DNA computing procedure for SSP experimentally demonstrated in [102] are given. Section 5.3 gives a summary of a network biocomputing method solving SSP experimentally implemented in [202]. In Section 5.5, the pre-computing costs, the volume needed for the computation, the run time, and the energy costs of these three different implementations of algorithms that solve SSP are compared. Section 5.6 concludes this chapter.

This chapter is adapted from the co-authored paper [215] titled “As good as it gets: A scaling comparison of DNA computing, network biocomputing, and electronic computing approaches to an NP-complete problem.”

The co-authors of [215] include an experimental team who designed and implemented the compared network biocomputing method for the subset sum problem. The actual implementation was published and discussed in [202, 269].

## 5.1 Introduction

NP-complete problems are the mathematical representations of many and very diverse real-life applications, such as protein design [217] and folding [80], data clustering in networks [27], circuit verification [196], optimal routing [113], and formal contextual reasoning [183]. Because of the exponential increase of solution space with the problem input size, electronic computers, including high-end supercomputers, cannot solve large instances of NP-complete problems since they operate with limited parallelism at best. Electronic computers face additional difficulties, such as reaching their fundamental physical limits of the gate size, which are already in the couple of nanometers, and engineering-related limits (for example, required energy and heat dissipation). All these difficulties challenge the sustainability of Moore’s law [157, 190], which predicts the doubling of computing power approximately every two years. Consequently, alternative computational paradigms capable of massively parallel operations have been proposed since the mid 1990s [3, 4]. Inspired by the natural massive parallelism of biological systems, many of these alternative computational paradigms use biological entities, from molecular to cellular, *in vitro* or *in vivo*, to solve computational problems. The large variety of biocomputation approaches (see Table 5.1 for a summary), combined with the fact that they are not yet standardized, precludes a direct comparison of their respective scalability, as well as a comparison with the “classical” electronic computing approach.

This chapter compares the key performance parameters of three fundamentally different computing approaches: two massively parallel biocomputation approaches (the DNA computing [DNA-C] [3] and the more recently reported network biocomputing using motile agents [NB-C] [202, 269]) and the classical electronic computing (E-C) approach. To achieve a fair analysis, all these computing approaches were employed to solve the same benchmark NP-complete problem, the subset sum problem (SSP).

In comparing the DNA-C, NB-C, and E-C approaches for solving SSP, the key operating parameters surveyed comprised the pre-computing costs (Section 5.5.1), the volume needed for computation (Section 5.5.2), the run time (Section 5.5.3), and the energy costs (Section 5.5.4). All were calculated using the experimental parameters and estimation methodology previously reported in [102, 202, 269].

Before we go further, a detailed definition of SSP is discussed. As mentioned in Section 2.3, SSP (see [254]) asks the following yes/no question: “Given a finite set  $S \subset \mathbb{N}$  of positive integers and a positive integer target number  $t \in \mathbb{N}$ , does there exist a subset  $S' \subseteq S$  such that  $t = \sum_{s \in S'} s$ ?” Note that other variants of SSP allow the input set  $S$  to be a multiset, which allows repetitions of its elements. An instance of SSP consists of a

particular set  $S$  and a particular number  $t$ , and the size of the instance is defined as the cardinality of the input set  $S$ . Note that each instance of SSP has a yes/no answer. For example, for the SSP instance of size 3 with input set  $S = \{2, 3, 9\}$  and target number  $t = 5$ , the answer is “yes”, and the subset of numbers that add up to  $t = 5$  is  $S' = \{2, 3\}$  (the “yes” answer is the solution to this instance of the problem). In computer science, solving SSP means finding an algorithm that outputs the correct solution (yes/no answer) for all instances. In the case of a “yes” answer, there is the optional step to identify the subsets that fulfill the required condition.

Agent	Problem	Reference
DNA	Hamiltonian path problem	[3]
	Maximal independent set	[97]
	Minimal dominating set	[103]
	Knapsack/subset sum problem	[7, 102, 257]
	Satisfiability	[25, 26, 169, 242, 260, 273]
	Maximal clique problem	[207]
	Maze	[39]
Motor proteins	Subset sum problem	[202]
Bacteria	Hamiltonian path problem	[13]
	Maze	[209, 214]
Slime mold	Steiner tree problem	[168, 194]
	Travelling salesman problem	[131]
	Maze	[195]
Fungi	Maze	[94, 98]
<i>C. elegans</i>	Maze	[228]
Bees	Travelling salesman problem	[32]
	Maze	[285]
Ants	Travelling salesman problem	[67]
Other multi-cellular organisms	Maze	[23, 205, 216, 236, 264]

Table 5.1: Natural computing approaches to solving instances of NP-complete problems and their related optimization problems. Biological agents used range from DNA molecules to multi-cellular macroscopic organisms. Only biocomputations that have been experimentally implemented are included.

## 5.2 DNA computing procedure for solving SSP

DNA computing overview was given in Section 2.2. Existing DNA-C procedures for solving SSP can be categorized as either theoretical DNA algorithms with no experimental implementation [38, 213] or DNA algorithms with a wet lab experimental implementation [7, 102]. The latter are based on the idea of expressing each subset  $S'$  of the input set  $S$  as a unique path in a special type of directed weighted graph, as illustrated in Figure 5.1.

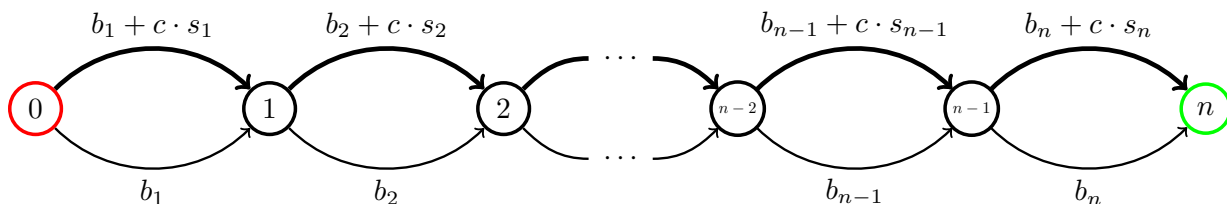


Figure 5.1: An SSP instance of size  $n$  with input set  $S = \{s_i \mid 1 \leq i \leq n\}$  represented by a directed weighted graph with  $(n + 1)$  nodes and designated start and end vertices. In this graph, each subset of  $S$  corresponds to a unique path from the start node (red) to the end node (green), and vice versa. Note that every such path has to pass through all the nodes of the graph. If, when connecting node  $(j - 1)$  with node  $j$ ,  $1 \leq j \leq n$ , the path traverses the top edge (thick line), this indicates that the subset it represents contains the number  $s_j$ . If, instead, the path traverses the bottom edge (thin line), this indicates that the subset it represents does not contain the number  $s_j$ . The edges are weighted, with the weights of the top and bottom edges being  $(b_i + c \cdot s_i)$ , and respectively  $b_i$ , for  $1 \leq i \leq n$ .

If the input set is  $S = \{s_1, \dots, s_n\}$ , the corresponding graph has  $n + 1$  nodes, a designated start node labelled 0, and a designated end node labelled  $n$ . For each  $1 \leq j \leq n$ , the node labelled  $j$  corresponds to the number  $s_j$  in  $S$ , and two consecutive nodes are connected by exactly two directed edges. Each path between node 0 and node  $n$  uniquely represents a subset  $S'$  of  $S$ , as follows. The presence or absence of a number  $s_j$  in  $S'$  is indicated by the path representing  $S'$  traversing either one, or the other (but not both), of the two edges that connect node  $(j - 1)$  to node  $j$ : If  $s_j$  is in  $S'$ , the path traverses the “top” edge, and if  $s_j$  is not in  $S'$  then the path traverses the “bottom” edge instead (see Figure 5.1). In addition, the weights of the two edges that connect consecutive nodes are different, so that the length of each start-to-end path (the sum of the weights of its edges) corresponds to the sum of the numbers in the subset that it represents.

This conceptual design can be physically implemented by first encoding each directed



weighted edge as a DNA strand of a certain length. This is followed by the generation of a combinatorial library of DNA strands encoding all possible start-to-end paths (concatenations of edges/strands) through the graph, which in turn represent all possible subsets of  $S$ . The next step is the physical extraction, from this library, of the DNA strands of the desired length representing the solutions to the SSP instance. The length of such an SSP-solution-representing DNA strand is determined based on the target number  $t$  specified by that SSP instance. Note that, in practice, experimental considerations dictate the introduction of additional parameters  $c$  and  $b_1, \dots, b_n$ , whereby the weight of the edge signaling the presence of  $s_i$  in a subset is  $(b_i + c \cdot s_i)$ , while the weight of the edge signalling the absence of  $s_i$  in a subset is  $b_i$ . For example, the set  $S$  itself is represented by the start-to-end path that traverses all the “top” edges in the graph, and the DNA strand that encodes it has the expected length  $\sum_{1 \leq i \leq n} (b_i + c \cdot s_i)$ . In contrast, the empty set  $\emptyset$  is represented by the start-to-end path that traverses all the “bottom” edges in the graph, and the (much shorter) DNA strand that encodes it has the expected length  $\sum_{1 \leq i \leq n} b_i$ . For a target number  $t$ , a subset  $S'$  of  $S$  whose elements sum up to  $t$  exists, if and only if there exists a start-to-end path in the graph encoded by a DNA strand of length  $\sum_{1 \leq i \leq n} b_i + c \cdot t$ .

Both [102] and [7] are based on the concept above, with [7] solving an instance of SSP of size  $n = 3$  with input set  $S = \{2, 3, 4\}$ , target number  $t = 5$ , and parameters  $c = 10$ ,  $b_1 = 25$ , and  $b_2 = b_3 = 20$ , and with [102] solving two instances of SSP of size  $n = 8$  and input set  $S = \{21, 45, 36, 51, 36, 36, 36, 36\}$ , one with target number  $t = 104$  and another with target number  $t = 174$ , and parameters  $c = 1$  and  $b_i = 6$  for  $1 \leq i \leq 8$ .

The wet lab experimental details of the more recent of the two DNA-C procedures for SSP in [102] are described further. For a direct comparison with NB-C, this DNA-C procedure has to be applicable also to SSP instances with small numbers in the input set (in particular, numbers smaller than the length of the restriction sites of the enzymes used in the DNA computation). To this end, in the description below, the parameters  $c = b_i = k$ , where  $1 \leq i \leq n$ , are used, where  $k$  is the length of the restrictions sites of all enzymes employed in the experiment.

The DNA-C procedure for solving SSP comprises three steps: the pre-computing step, the solution generation step, and the result readout step.

In the pre-computing step, the natural numbers comprising input set  $S = \{s_1, \dots, s_n\}$  of an SSP instance of size  $n$  are encoded into a so-called “computing region of  $S$ ” that is inserted into a plasmid (a circular DNA double strand), as follows (Figure 5.2, left panel, top). To each number  $s_i$ ,  $1 \leq i \leq n$ , one associates a restriction enzyme  $e_i$  with restriction site  $r_i$  of length  $k$ . In addition, two unique restriction enzymes  $e_{\text{start}}$  and  $e_{\text{end}}$  are used, with restrictions sites  $r_{\text{start}}$  and  $r_{\text{end}}$  (also of length  $k$ ) as delimiters of the computing region of  $S$

as defined later on. The enzymes are chosen so that all restriction sites are different from each other. Each restriction enzyme  $e_i$ ,  $i \in \{1, 2, \dots, n\} \cup \{\text{start}, \text{end}\}$ , cuts according to a specific pattern, and its restriction point (the location of its cut) is after the  $k_i^{\text{th}}$  base of its restriction sequence from the 5' end. Also, in this experiment, all restriction sites are palindromic, so  $k_i$  uniquely describes the cuts on both strands.

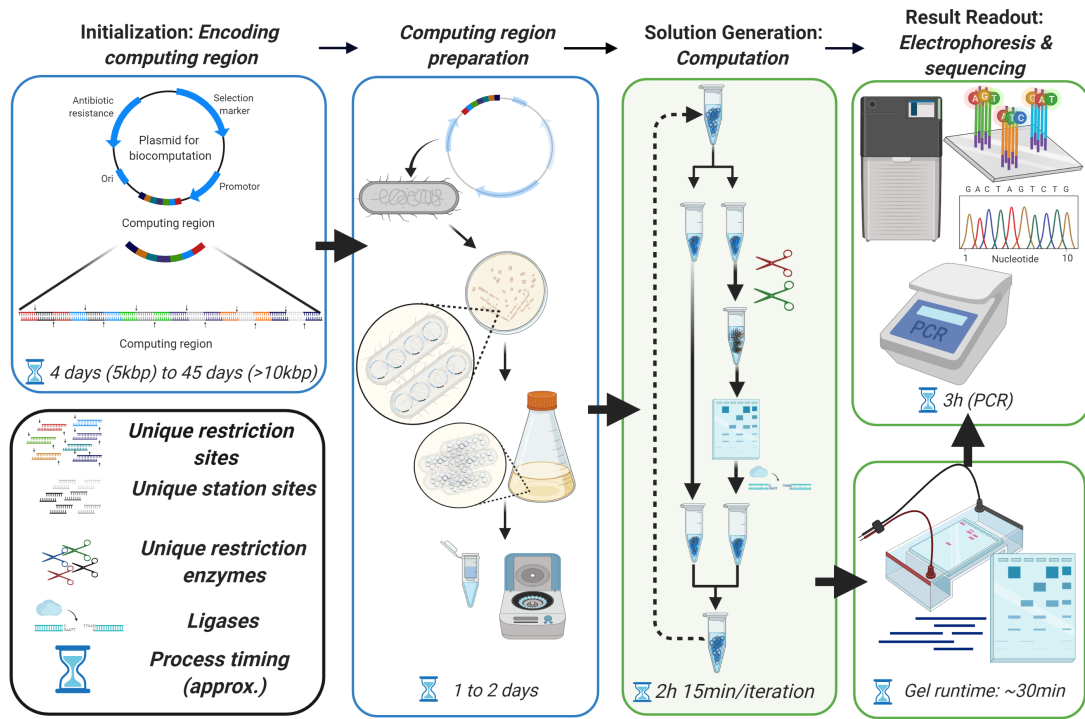


Figure 5.2: The DNA-C procedure in [102] for solving an instance of SSP. Left panel, bottom: Visual figure legend. Left panel, top: The natural numbers comprising the input set  $S = \{s_1, \dots, s_n\}$ , of an SSP instance of size  $n$ , are encoded into a “computing region of  $S$ ” inserted into a plasmid. Centre-left panel: The plasmid is amplified by cloning. Centre-right panel: The pool comprising all DNA strands representing candidate SSP solutions is generated, by a succession of split-and-merge substeps, using restriction enzyme digestions, purifications by gel electrophoresis, and ligations. Right panel, bottom: The DNA strands representing the candidate SSP solutions are length-separated by gel electrophoresis. Right panel, top: The DNA sequences of the desired length are extracted, amplified by PCR (optionally), and sequenced.

Next, for each number  $s_i$ ,  $1 \leq i \leq n$ , a DNA strand of length  $k + (k \cdot s_i - k) + k = k \cdot (s_i + 1)$ , called a *station*, is designed, consisting of the concatenation of three sequences: the recognition site  $r_i$ , a specially designed “middle sequence” of length  $k \cdot s_i - k$ , and a second copy of  $r_i$ .

In the DNA-C procedure for SSP in [102], the enzyme  $e_{\text{start}}$  is *XbaI* and the enzyme  $e_{\text{end}}$  is *HindIII*, with the respective restriction sites shown in Figure 5.3, with  $k_{\text{start}} = k_{\text{end}} = 1$ .

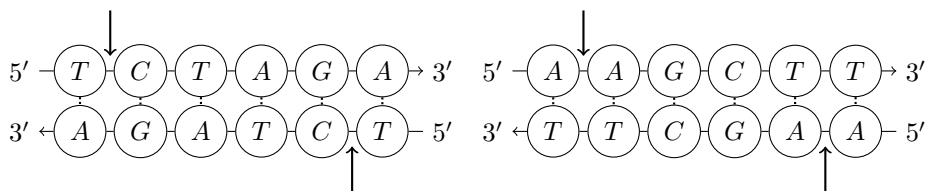


Figure 5.3: Restriction sites of restriction enzymes XbaI (left) and HindIII (right).

The input set  $S$  is encoded by a DNA double strand called the *computing region of S*, which consists of the concatenation of the recognition site  $r_{\text{start}}$ , one station for each of the input numbers  $s_i$ ,  $1 \leq i \leq n$ , and the recognition site  $r_{\text{end}}$ . Note that the recognition sites and middle sequences are carefully designed so that  $r_{\text{start}}$  and  $r_{\text{end}}$  occur exactly once (at the beginning and end of the computing region of  $S$ , respectively), and each  $r_i$ ,  $1 \leq i \leq n$ , occurs exactly twice in the computing region of  $S$  (once at the beginning and once at the end of the station for  $s_i$ ).

Using this encoding scheme, a DNA strand representing the computing region of the input set  $S$  is synthesized and inserted into a base plasmid containing one copy of the recognition site  $r_{\text{start}}$  and one copy of the recognition site  $r_{\text{end}}$  (with no overlap), using the respective restriction enzyme digestions and ligations. Care must be taken with the encodings and choice of plasmid, so the restriction sites occur only in the designated places. As shown in the centre-left panel of Figure 5.2, this base plasmid is then inserted into bacteria, such as *E. coli*, and amplified (exponentially multiplied) to the amount necessary for the ensuing DNA computation. The generated plasmids are then extracted from bacteria and transferred to a test tube.

In the solution generation step, the goal is to generate the space of all potential solutions for this SSP instance by creating all different plasmids with a computing region representing a subset of the input set. The *computing region of a subset S'* of  $S$  consists of the concatenation of the restrictions site  $r_{\text{start}}$ , followed by the ordered concatenation of  $n$  DNA strands, each representing the presence or absence of a number  $s_i$  in  $S'$ , and

followed by the restriction site  $r_{\text{end}}$ . More precisely, if the number  $s_i$  belongs to  $S'$  then the station of  $s_i$  (which includes two copies of  $r_i$ ) is present at the  $i^{\text{th}}$  location in the computing region of  $S'$ , while if  $s_i$  does not belong to  $S'$  then a single copy of  $r_i$  is present at the  $i^{\text{th}}$  location in the computing region of  $S'$ . The length of the DNA double strand encoding the computing region of a subset  $S'$  is:

$$L_{DNA}^{S'}(n) = k + k \cdot (n - |S'|) + \sum_{s_j \in S'} k(s_j + 1) + k \text{ (bp)}.$$

The generation of the combinatorial library of solution candidates can now proceed by a succession of split-and-merge substeps, as follows (Figure 5.2, centre-right panel). The content of the initial test tube  $T$ , containing the plasmid with the computing region of  $S$ , is evenly split into two tubes  $T_1$  and  $T_2$ . Next, while tube  $T_2$  remains intact, the plasmids in tube  $T_1$  are digested by the restriction enzyme  $e_1$  in order to cut out the station representing the number  $s_1$ . The resulting linear DNA molecules are ligated back into circular DNA molecules (after purification by gel electrophoresis to separate and extract the DNA strands encoding the station representing  $s_1$ ). Following this, the contents of the new  $T_1$  and  $T_2$  are merged into a tube  $T'$ , which now comprises plasmids of two types: half of the plasmids have a computing region of subsets containing  $s_1$ , and the other half of the plasmids have computing regions of subsets that do not contain  $s_1$ . This succession of split-and-merge substeps is repeated for each of the remaining numbers in  $S$ , resulting in a final tube that contains a combinatorial library of plasmids with computing regions spanning all possible subsets of  $S$ .

In the result readout step, the possible solution candidates are separated by high resolution electrophoresis (e.g., non-denaturing polyacrylamide gel electrophoresis, PAGE, or 2% agarose gel electrophoresis), and the existence of an SSP solution is determined by the presence or absence of a band on the gel corresponding to the desired DNA strand length (Figure 5.2, right panel, bottom). Optionally, the DNA strands in the band indicating a solution can then be sequenced (Figure 5.2, right panel, top).

More precisely, the plasmids in the final test tube are first cut by the restriction enzymes  $e_{\text{start}}$  and  $e_{\text{end}}$ , resulting in linear DNA molecules representing all possible subset sum combinations for the set  $S$ . If a solution to the given SSP instance exists, that is, if there exists a subset  $S'$  of numbers in  $S$  that contains numbers adding up to the target number  $t$  (that is,  $\sum_{s_j \in S'} s_j = t$ ), then a band with DNA strands of length

$$L_{DNA}^S(n) - k_{\text{start}} - k_{\text{end}} - \sum_{s_j \in S \setminus S'} k s_j = L_{DNA}^S(n) - k_{\text{start}} - k_{\text{end}} - [(\sum_{s_i \in S} k s_i) - kt] \text{ (bp)}$$

will be detected on the gel, and the answer to this instance of SSP is “yes.” In this case one can, optionally, sequence each DNA strand representing an SSP solution, to identify the corresponding subset of numbers in  $S$  that sum up to  $t$  (there can be several such subsets). To determine such a subset  $S'$ , for every number  $s_i$ ,  $1 \leq i \leq n$ , its presence or absence in  $S'$  can be determined by checking the number of occurrences of the recognition site  $r_i$  in the DNA sequence representing  $S'$  (two occurrences of  $r_i$  if  $s_i \in S'$ , and one occurrence of  $r_i$  if  $s_i \notin S'$ ).

Alternatively, if there is no band on the gel corresponding to the aforementioned expected length, then the answer to this instance of SSP is “no.”

### 5.3 Network biocomputing (NB-C) for SSP

Various implementations of massively parallel computation using motile agents were proposed to solve NP-complete problems. Agents can be abiotic, such as photons [204, 277] and beads [114, 124]. NB-C uses biological agents such as cytoskeletal filaments (actin filaments or microtubules) propelled by protein molecular motors (myosin or kinesin) [200, 202] and microorganisms [98, 197, 214, 270]. Exploring computational networks requires that the motile agents are self-propelled, independent of each other, easily visible, reasonably small, and able to move at a high velocity. The large variety of motile biological agents offers the opportunity of selecting those that fulfil these requirements.

Unlike electronic computers, which perform operations *in silico*, NB-C uses motile biological agents that explore and perform “operations” in a physical space, designed according to the problem to be solved. These special features of NB-C have interesting consequences for the scaling of computation.

The following discussion focuses on the details of the implementation of NB-C to solve SSP [202, 269]. It comprises the pre-computing step, the solution generation step (where motile biological agents explore the network), and the result readout step.

In the pre-computing step, the input information is encoded as a physical network. The design of the network that encodes SSP instances was first reported in [201] and refined in [202], where the input is encoded by a triangular shape network made of junctions. There are two types of junctions used: pass junction and split junction, as illustrated in Figure 5.4.

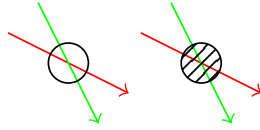


Figure 5.4: Two types of junctions used in the network encoding of the subset sum problem. There are two routes, illustrated by a red arrow and a green arrow, through a junction. Left: A pass junction is represented by an empty circle. If a motile agent enters the junction from a route, it will exit following the same route. Right: A split junction is represented by a shaded circle. If a motile agent enters the junction from a route, it has a 50 % chance of exiting via the same route and a 50 % chance of exiting via the other route.

If the input set is  $S = \{s_1, \dots, s_n\}$ , the corresponding network has  $1 + \sum_{1 \leq i \leq n} s_i$  rows of junctions, and the  $i^{\text{th}}$  row has  $i$  junctions. In addition, all the junctions in the  $i^{\text{th}}$  row are split junctions if and only if there exists  $0 \leq j \leq n$  such that  $i = 1 + \sum_{1 \leq l \leq j} s_l$ , and the split junctions in the  $i^{\text{th}}$  row correspond to the input number  $s_{j+1}$ . The motile agents enter the network by the split junction in the first row, and they exit the network by the split junctions in the last row. Each split junction in the last row corresponds to a number between 0 and  $\sum_{1 \leq i \leq n} s_i$ . The design of the network ensures that agents exit a split junction in the last row if and only if there exists a subset of the input set that sums to the number corresponding to the junction. Each path from the entrance junction to an exit junction represents a subset of the input set, and the sum of this subset is the number that corresponds to the exit junction. This path includes a red route out of a split junction if and only if the corresponding number from the input set is included in the subset. For example, the network encoding of an instance of SSP with input set  $S = \{2, 5, 9\}$  used in [202] is illustrated in Figure 5.5.

The dimensions and optimizations of the designed network are related to the particularities of the biological agents used. The size of a junction in the network for different biological agents is described in a previous study [269]. For example, if protein molecular motor-propelled cytoskeletal filaments are chosen, the network channel dimensions and surface modifications will be tailored to accommodate agents to freely traverse the network [202]. The fabrication of the networks can be achieved by PDMS-based soft lithography, low resolution SU-8-based optical lithography, and e-beam lithography, where a higher resolution is required for the networks designed for smaller agents, such as cytoskeletal filaments. Furthermore, for bacterial-driven NB-C, the networks need to be able to provide nutrients for bacteria, while for cytoskeletal filaments-driven NB-C, the networks need to be able to provide ATP.

In the solution generation step, all possible subsets are generated by biological agents

traversing all different paths from the entrance junction to an exit junction. For example, in Figure 5.5, the subset sum numbers associated with an exit junction that an agent can traverse to from the entrance junction is colored blue. In addition, a path representing the subset  $\{5\}$  is shown in Figure 5.5, where it takes the green routes from the first and third split junctions (2 and 9 are not included) and the red route from the second split junction (5 is included), and it exits the network from the junction representing the subset sum 5.

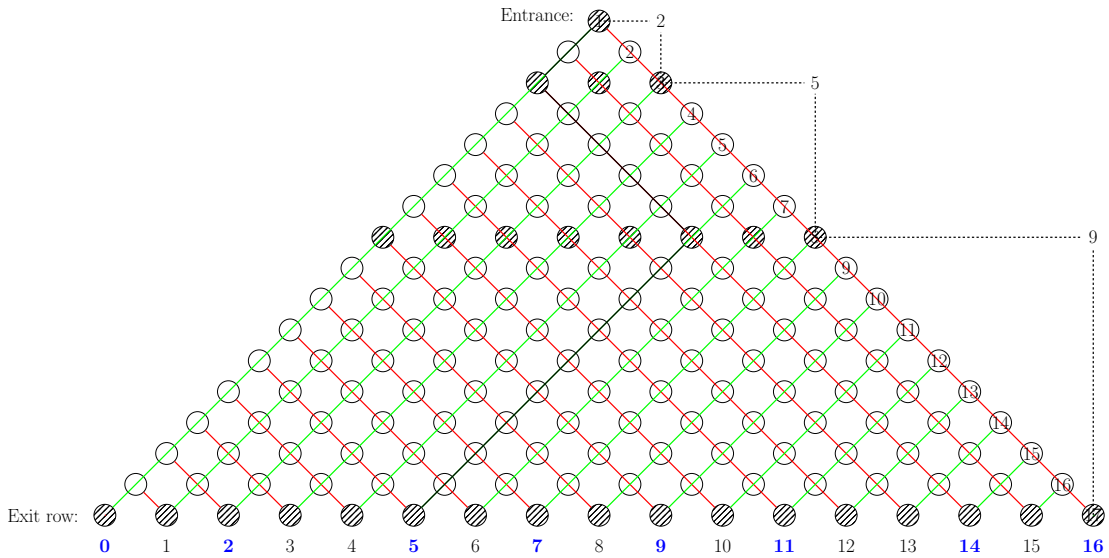


Figure 5.5: Network encoding of an instance of the subset sum problem with the input set  $S = \{2, 5, 9\}$ . Split junctions are represented by shaded circles, and pass junctions are represented by empty circles. The red route of a junction is directional from top left to bottom right, and the green route of a junction is directional from top right to bottom left. The parts of routes that are not connected to other junctions are omitted. There are 17 rows, and the  $i^{\text{th}}$  row from the top contains exactly  $i$  junctions. All the junctions in the 3<sup>rd</sup> ( $1 + 2$ ), 8<sup>th</sup> ( $1 + 2 + 5$ ), and 17<sup>th</sup> ( $1 + 2 + 5 + 9$ ) rows are split junctions. The split junction in the 1<sup>st</sup> row is the entrance of the network, and the split junctions in the last row are the exits of the network, each of which represents a potential subset sum of the input set. The possible subset sums are labelled by blue numbers, and there will be agents exiting the corresponding split junctions in the last row. A path that represents the subset  $\{5\}$  with sum 5 is represented by black lines.

The network is called a *class II* network if there is a one-to-one correspondence between subset sums and paths from the entrance junction to an exit junction, and it is called a

*class I* network otherwise [269]. For example, the network in Figure 5.5 is class I, but the network encoding the input set  $S = \{2, 3, 5\}$  is class II because the subset that sums to 5 can be either  $\{2, 3\}$  or  $\{5\}$ .

In the above model, it is assumed that the biological agents go through pass and split junctions perfectly according to the design. However, in experiments, physical factors like biased turn preferences and interactions with the boundaries of the channels can influence the binary decision. For instance, when bacteria explore a network, their ability to choose a route is modulated by chemotactic cues, nutrient foraging, flagellum/a architecture, and interactions with surrounding walls [98, 99, 214].

In the result readout step, the existence of an SSP solution can be verified by checking whether there are any agents exiting the exit junction that represents the target number. In addition, because images of the whole network were taken during the solution generation step, the composition of the subsets that represent SSP solutions can (optionally) be obtained by analyzing the traces of the agents. The trajectories of the agents in the network can be recorded using an optical interface, such as a microscope. The various limits of the optical readout interfaces were reviewed recently, specifically the various limits of the field of view on NB-C [269]. A timestamped image recording, necessary to obtain a reliable readout from agent-based computation [197, 214], comprises image acquisition, image post-processing, and agent tracking. Image processing tools, such as ImageJ Fiji [1, 263], and tracking plugins, such as Track Mate (semi-automatics) [186, 263] and MTrackJ(manual) [186, 249], will process the recorded frames of agent movement in the network. The deciphered tracks and the density maps encode the solutions, and the readout can be achieved using the following approaches.

- Density maps and backtracking: The sum of all the agent trajectories is projected as a heat map, i.e., spatially distributed frequencies of agent locations. Depending on the color scheme used, the most taken paths (correct solutions) are brightly colored or of the highest saturation, while the least taken paths (incorrect solutions) are dark or of minimum saturation (alternatively, the heat maps can be interrogated for their numerical values too). These density maps are used as a qualitative measure and a form of quick parallel readout to arrive at the solutions for a particular set. Although quick, this methodology only delivers the target sums, i.e., the existence of a solution to SSP. The combination of the target sum and the multiple routes for the same exit for complexity class II type SSP can be derived by backtracking.
- Agent counting at the exits of the network: Another methodology is based on counting the number of agents at the exits. This methodology, demonstrated for cytoskeletal filaments-driven NB-C [202], translates to a bar chart with a distribution of agents



with the highest relative count for correct exits versus the lowest relative counts for agents exiting incorrect exits.

- Continuous tracking of the agents from the entry to the exit: Another methodology could be based on single-particle continuous tracking, either by manual, semi-automatic, or automatic methods, which can be adapted to track the agent movement in the computation network, thus recording the visited junctions encoding a particular solution.

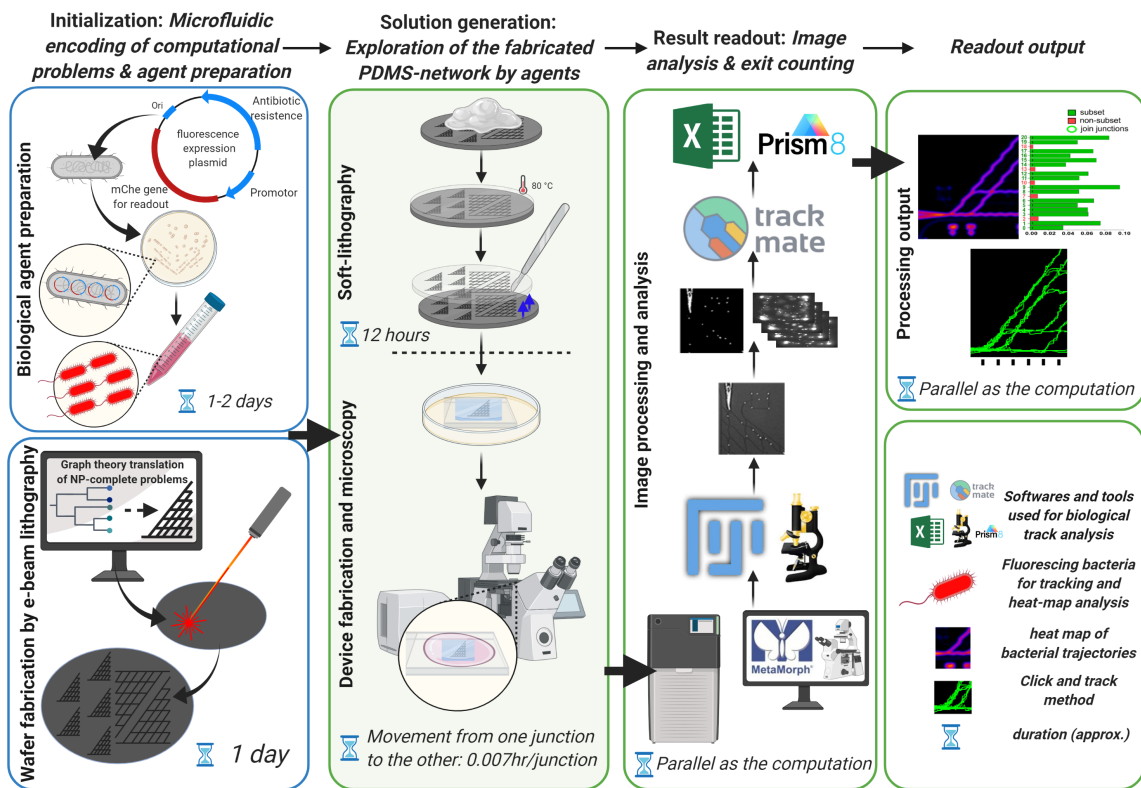


Figure 5.6: The model flow chart of agent-based NB-C and the associated stages. The figure here gives a bird’s-eye view of the computational operations like exploring the network by bacteria and pre- and post- computational steps like network design and fabrication, bacterial preparation and culture for experimentation, results readout, image analysis, and the associated required duration.

In addition to these already demonstrated methodologies, several more elaborate ap-

proaches have been proposed. Examples include the switchable tagging of biological agents “on the fly,” which would allow the computational trajectories being stored in the agents as transient or permanent memory [269].

A comprehensive list of experimental procedures and the time taken to solve each stage of the agent-based computation is represented in Figure 5.6. Numerical calculations, such as the total number of agents required to solve SSP instances of different sizes (cardinality), and the network sizes comparison were reproduced, with some modifications, as reported in [269]. The applied modifications to previous scaling analysis stem from considering different input sets (i.e., unit, prime, Fibonacci, and exponential), as introduced in Section 5.5.

## 5.4 Electronic computing (E-C)

A review of the electronic computing is beyond the scope of this contribution. However, a balanced comparison of the projected capacities of DNA-C and NB-C to solve NP-complete problems will benefit from benchmarking it against the equivalent projected performance of electronic computers.

Electronic computers are essentially sequential machines (multi-core computers feature bounded parallelism, at best), and therefore they are inherently challenged by the exponential increase of the number of possible solutions with the size of the NP-complete problem. However, electronic computers do present important advantages in tackling NP-complete problems. First and foremost, the speed of computation is presently running in the billions of operations per second. Presently, AMD Threadripper 3990X, one of the fastest commercial chips, performs approximately 2.3 million MIPS (million instruction per second) at 4.35 GHz [249]. Second, after more than half a century of technology development following Moore’s law [190, 191], electronic computer chips benefit from a deep, large, and fully functional ecosystem, including manufacturing and performance standards, business networks, and last but not least, a large body of elaborate mathematical algorithms and information processing protocols. Third, despite reports of a slow-down in technology development and of the “end of Moore’s law” [70, 123], the semiconductor industry continues to find ways for dramatic improvements.

To ensure a correct comparison between the performance of DNA-C, NB-C, and the benchmark electronic computers with regard to their performance in solving SSP, the latter must perform the calculations by brute force, similar to the former two massively parallel computation approaches. The basic methodology to solve SSP by various generations of electronic computer chips was described in [269]. Briefly, a computer program to solve SSP

was developed in the C programming language to enable low-level memory access, efficient mapping to machine instructions, and flexibility. Out of several algorithms to solve SSP, a naïve, brute force approach was adopted. The SSP algorithm was designed to explore all  $\sum_{0 \leq k \leq n} \binom{n}{k} = 2^n$  subsets, each of which contains at most  $n$  elements. Thus, the running time is of the order  $O(n \cdot 2^n)$ .

Due to random access memory (RAM) and clock speed being the major factors affecting CPU speed, we replicated the computing resources of Intel 286, Intel 386, Intel 486, and Intel Pentium Pro by simulating part of their computer hardware with virtual machines. However, these calculations were dependent on chip power, and consequently the fastest chip could not solve an SSP instance larger than  $n = 50$ , for the prime input set. Fortunately, the computing time was found to be in a near perfect relationship with the technical parameters of the chips, i.e., MIPS and clock frequency, and this allowed the extrapolation of the computing time for solving SSP at higher cardinalities and for more advanced computer chips (AMD Threadripper 3990X).

## 5.5 Scaling comparison of the DNA-C, NB-C, and E-C methods solving SSP

This section comprises a detailed scaling comparison of three qualitatively different methods for solving SSP: the DNA-C procedure of [102] described in Section 5.2, the NB-C method of [202, 269] described in Section 5.3, and the classical E-C implementation of the (sequential) exhaustive search algorithm for SSP. As comparison benchmarks, four different types of input sets are considered, drawn from the following sequences of positive integers. The unit sequence is  $\{a_i\}_{i \geq 0}$ , where  $a_i = 1$  for all  $i \in \mathbb{N}$ , the prime sequence  $\{p_i\}_{i \geq 0}$  consists of all the prime numbers in ascending order, the Fibonacci sequence is  $\{f_i\}_{i \geq 0}$ , where  $f_0 = f_1 = 1$  and  $f_{i+2} = f_{i+1} + f_i$  for all  $i \in \mathbb{N}$ , and the two-exponential sequence is  $\{\text{exp}_i\}_{i \geq 0}$ , where  $\text{exp}_i = 2^i$  for all  $i \in \mathbb{N}$ . The *unit set* of cardinality  $n$  is now defined as comprising the first  $n$  elements of the unit sequence, and the *prime set*, the *Fibonacci set*, and the *two-exponential set* (or, simply, *exponential set*) of cardinality  $n$  are similarly defined. For example, for cardinality  $n = 7$ , the unit set is  $\{1, 1, 1, 1, 1, 1, 1\}$ , the prime set is  $\{2, 3, 5, 7, 11, 13, 17\}$ , the Fibonacci set is  $\{1, 1, 2, 3, 5, 8, 13\}$ , and the exponential set is  $\{1, 2, 4, 8, 16, 32, 64\}$ . Using these sets as inputs for instances of SSP, the DNA-C and NB-C methods for solving the SSP problem are now compared, at different cardinalities, as follows. Section 5.5.1 discusses the pre-computing step for both methods: the synthesis and length of DNA strands utilized in the case of DNA-C method, and the network fabrication details in the case of the NB-C method. Section 5.5.2 compares the physical volume

of the computation for each method, while Section 5.5.4 compares the energy needed for computation, and Section 5.5.3 compares the running time of both biocomputations.

### 5.5.1 Pre-computing

Before considering the “core” operational parameters of the three computational procedures considered here, it must be observed that the classical electronic computers are, following decades of development and standardization, “ready-made hardware” in that no substantial pre-computing procedures need to be performed. Furthermore, in most instances electronic computers utilize pre-loaded algorithms, possibly including those solving special cases of NP-complete problems.

In contrast, non-classical computing methods such as DNA-C and NB-C are characterized by a lack of standardization and usually offer *ad-hoc*, problem-dependent, solutions (possibly involving the fabrication of new “hardware” for each problem). Consequently, while this state of affairs is expected to improve with further development of non-classical computing, a thorough scaling comparison and analysis cannot ignore the necessary pre-computing step for the DNA-C and NB-C methods.

In the case of DNA-C procedure, the implementation of the pre-computing step described in Section 5.2 comprises the synthesis of the DNA strands representing the computing region of the input set  $S$ , followed by their insertion into plasmids, and by the amplification of the plasmids containing the computing region of  $S$ . As detailed in Section 5.2, for an SSP instance of size  $n$  with input set  $S = \{s_1, s_2, \dots, s_n\}$ , the length of the DNA strand representing the computing region of  $S$  is  $L_{\text{DNA}}^S(n)$ . Figure 5.7 illustrates the lengths of computing regions of the unit, prime, Fibonacci, and exponential input sets of various cardinalities, if the length of all restriction enzyme recognition sites is  $k = 6$ , as chosen in [102]. Using these calculations, and taking 10 kbp as the maximum length of synthesizable DNA strands (see Section 2.2), it follows that the largest input sets that can be encoded using this DNA-C procedure and current technology are input sets of cardinality  $n = 1,665$  for unit sets,  $n = 30$  for prime sets,  $n = 15$  for Fibonacci sets, and  $n = 9$  for exponential sets.

The possible rate-limiting factors for DNA-C include:

- Despite the high-fidelity DNA-polymerase based amplification, random errors still occur [11, 171].
- DNA fragment hybridization mismatches [8, 87].

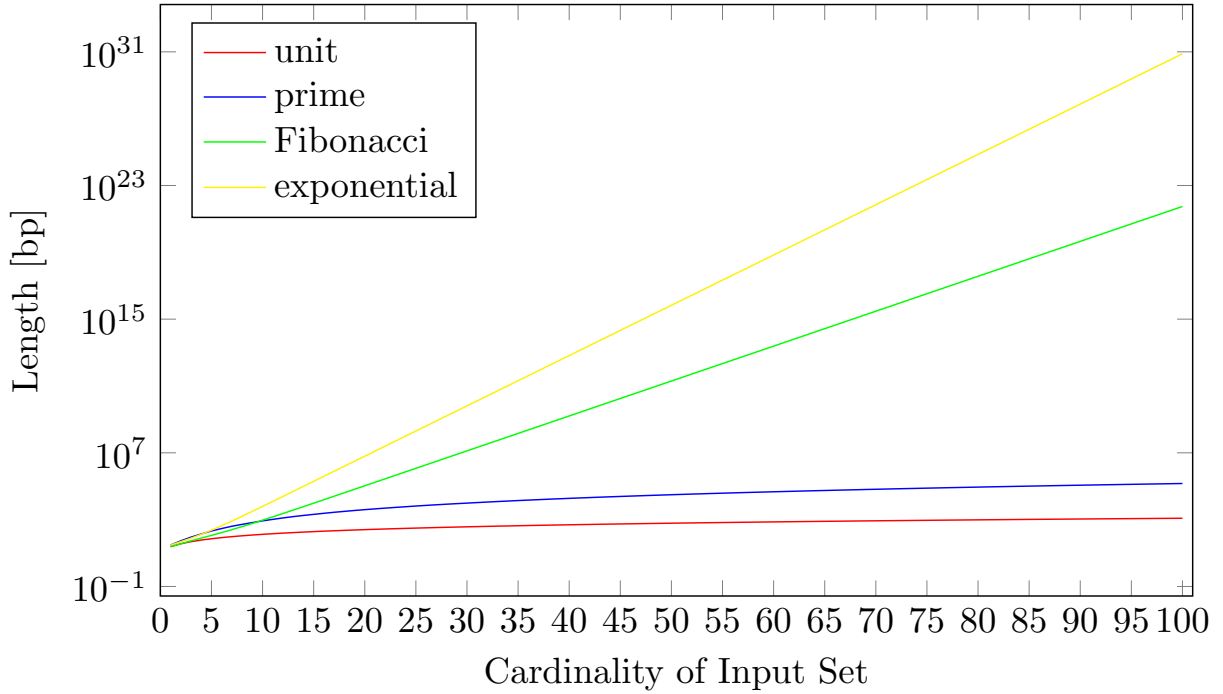


Figure 5.7: Logarithmic scale graph illustrating the length of the DNA strand that encodes the computing region of the input set in the DNA-C procedure in [102], for the unit, prime, Fibonacci, and exponential input sets of different cardinalities, from  $n = 1$  to  $n = 100$ . Note that the length of the computing region of the input set grows exponentially (linear growth, logarithmic scale) for exponential and Fibonacci input sets and grows linearly for unit input sets (quasi-constant growth, logarithmic scale).

- Metastable DNA hybrid structures, e.g., hairpin loops [77, 170, 284].

However, these errors can be mitigated with optimized protocols, e.g., variation of temperature and use of specific enzymes relaxing the hairpin loops and other metastable structures [12]. Additionally, the use of New Generation Sequencing can help the quantification of errors and provide feedback loops for protocol optimization. Consequently, considering these achievable optimization paths, the scaling estimations regarding DNA-C procedures consider only the optimal properties of the DNA strands.

Besides the length of the computing region of the input set, which determines an upper limit on the size of the SSP instance solvable by this DNA-C procedure, another limitation

on the pre-computing step is the number of restriction enzymes available. This is because encoding of an input set of cardinality  $n$  requires  $(n + 2)$  restriction enzymes (one for each number in the input set, and one for each end of the computing region of  $S$ ). Each enzyme must have a distinct recognition site, and all restriction sites have to be of the same length  $k$ . If  $k = 6$ , as chosen in [102], the number of known enzymes with different recognition sites of this length is at most 47 (see [235]), and this becomes an additional upper limit for the maximum size of SSP instance solvable by this DNA-C procedure. Note the constraints on the design of viable number-encoding stations, and the limitations on the length of DNA strands that can be synthesized (discussed in Section 2.2), which could lead to further limiting the maximum size of the SSP instance that can be solved by this technique.

In the case of the NB-C method, the scaling analysis will use the bacteria-operated version because it offers more opportunities for insight, especially due to the possibility of agent multiplication. In general, NB-C also needs two separate pre-computing modules: (i) micro- or nano-fabrication of the computational network using photolithography or electron-beam lithography, followed by semiconductor manufacturing proper for the computational device for cytoskeletal filaments-driven NB-C, or for the master mold for microorganisms-driven NB-C, followed in the latter case by PDMS-based soft lithography [100, 202]; (ii) genetic engineering of the bacterial strain with fluorescence expressing plasmids [197, 214]. The split and pass junctions have an average diagonal length of  $106.3 \mu\text{m}$  for a bacterium agent of an average size of  $0.5 \mu\text{m} \cdot 1.0 \mu\text{m}$ . The diagonal length may vary depending on the bacterial or the motile agents used for computation. The fabrication time for the network is computed based on the total number of junctions in each input set. A nanometer-precise fabrication is necessary for finer cytoskeletal filaments version [200, 202], but for e-beam lithography, a higher resolution, coupled with larger channel dimensions, results in a longer fabrication time per unit cell. Another limiting factor is the largest wafer size available to accommodate the computational network, with the most used wafer diameter being 8 inches. Figure 5.8 presents the number of unit cells required for a specific cardinality; the fabrication time is proportional to this number. As for NB-C analysis, the pre-computation processes, such as network fabrication and the mass production of bacteria, are not included in the assessment of the computing time needed to solve SSP for various cardinalities. The preparation of bacteria for NB-C proceeds once per computation, with a duration allowing several of these preliminary procedures within 12 hours. Because the NB-C network encodes a brute force mathematical algorithm for solving SSP, once the key parameters of the geometry are acquired, e.g., number, type, position of the nodes, length and widths of the channels, templates for post-processing rectifiers, and “ghost lanes” [270], the actual design of the planar layout of the biological agents-driven computer

can progress entirely automatically, e.g., using lithography design software.

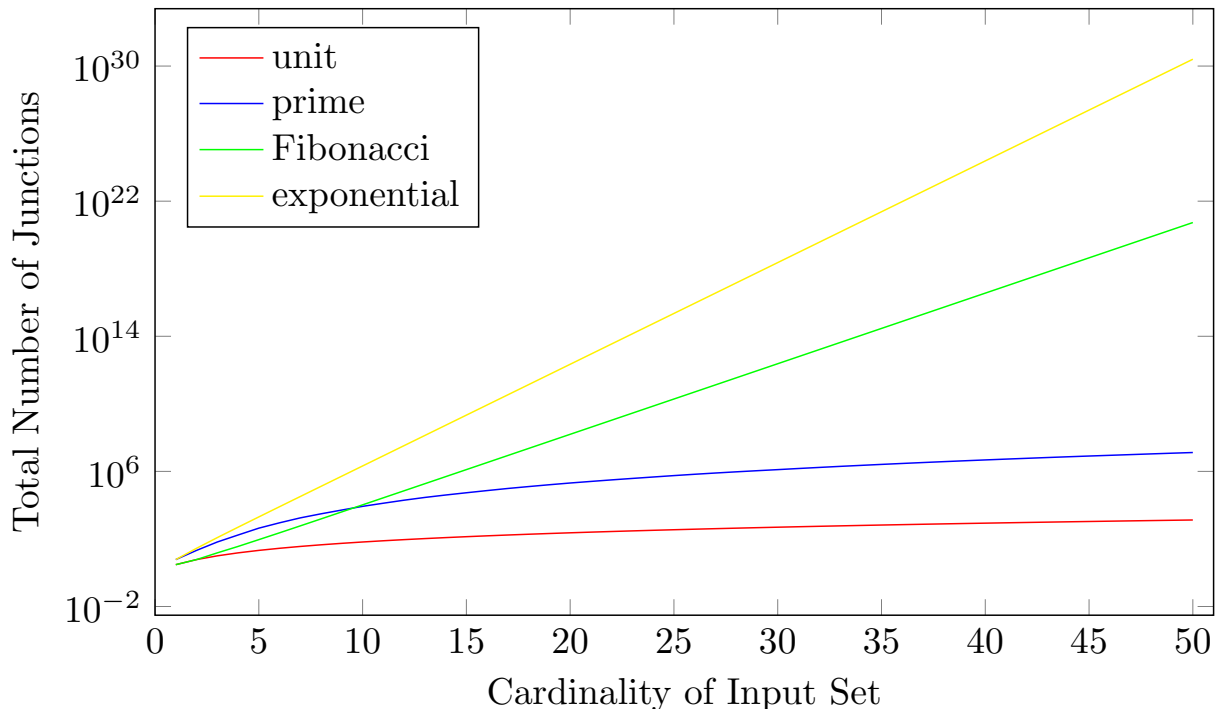


Figure 5.8: Logarithmic scale graph illustrating the total number of junctions that are used in the network in the NB-C method of [269] for the unit, prime, Fibonacci, and exponential input sets of different cardinalities, from  $n = 1$  to  $n = 50$ . Note that the total number of junctions grows exponentially for exponential and Fibonacci input sets and grows linearly for unit input sets.

To further clarify the design procedure: in the SSP network used, a set of a problem with total sum size  $\varsigma$  is encoded in a modular system, i.e., a lattice build from two isomorphic unit cells. One unit cell type contains a pass junction, where agent traffic lines cross without interaction, and the other unit cell type has additional split junctions, allowing a change of traffic direction [202, 269, 270]. The elements  $s_i$  of the set are represented by one split-junctions-containing unit cell followed by  $(s_i - 1)$  pass-junction-only unit cells. All elements  $s_i$  of the set represented this way are sequentially ordered to obtain a row of  $\varsigma$  unit cells. This row forms the basis of the network, which is copied  $(\varsigma - 1)$  times and stacked in the direction perpendicular to the row. The concept of this design was presented in [270]. Note that adding an element in the set results in diagonal upward traffic, whereas

skipping an element results in horizontal traffic. As a consequence, only a triangular part of the rectangular lattice, starting in the bottom-left corner, is needed. This translation of a set into a triangular network can be fully automated; the time needed scales with  $\zeta^2$ .

Note that in case the split lanes in the split junctions unit cell can be optionally blocked. One type of unit cell can be employed in the whole lattice, allowing all sets of total sum size  $\zeta$  to be calculated by the same network [202, 269]; this would considerably reduce the design and fabrication costs for this type of calculation network.

To summarize, the limitations on the pre-computing step of this DNA-C procedure are the length of synthesizable DNA strands and the number of available restriction enzymes, while the limitations on the pre-computing step of the NB-C method are the fabrication resolution and the size of the silicon wafer to be fabricated. Thus, the pre-computing step limits the size of an SSP instance that can be solved by the DNA-C procedure to at most  $n = 45$  for unit sets,  $n = 30$  for prime sets,  $n = 15$  for Fibonacci sets, and  $n = 9$  for exponential sets. Similarly, for the NB-C method used in this comparison, which uses bacteria as the agents and uses e-beam fabrication, the pre-computing step limits the size of an SSP instance that can be solved by the NB-C method to at most  $n = 2000$  for unit sets,  $n = 37$  for prime sets,  $n = 16$  for Fibonacci sets, and  $n = 10$  for exponential sets.

While serious challenges remain, it is important to note that none relate to a current technological limitation. Even with the present state-of-the-art technologies, there are several ways to improve performance to scale the computation at a cost. However, for a fair comparison of the E-C computing time with the computing time of alternative computing approaches, the time cost for pre-computing and readout procedures is omitted. For this scaling analysis, we only use information from the experimentally implemented procedures for solving SSP reported in [102] for DNA-C and [202, 269] for NB-C, and the performance specifications of typical electronic computers for E-C.

### 5.5.2 Volume comparison

In this section, we compare the maximum physical volume required by the DNA-C, NB-C, and E-C methods at a given time during the computation of a solution to an SSP instance: the maximum volume of DNA molecules for the DNA-C procedure, the maximum volume of biological agents (bacteria) for the NB-C method, and the volume of the computer for E-C.

For the DNA-C method, the maximum volume of the computation is proportional to the maximum number of DNA molecules, which is reached during the pre-computing step and remains constant afterwards. Indeed, the DNA-C procedure generates all  $2^n$  potential



solutions to an SSP instance of input size  $n$  by selectively removing number-representing “stations” from the computing region of the input set. For this volume calculation, we make the assumption that each SSP-solution-encoding DNA molecule is present in the same number of copies, and that  $w_{\min}$  denotes the weight of the smallest amount of DNA detectable on a gel (with current technology,  $w_{\min}$  is 1 ng [90,129]). With these assumptions, the maximum number of molecules that are required during a DNA-C computation can now be computed, based on the maximum number of the shortest SSP-solution-encoding DNA molecules that have a total weight of  $w_{\min}$ .

To calculate the number of base pairs of a partially double-stranded DNA molecule with sticky ends, we assume that each base in a sticky end counts as  $\frac{1}{2}$  base pair. With this assumption, the length of the shortest computing region of a subset (the empty set) at the result readout step is  $L_{\text{DNA}}^{\emptyset}(n) - k$  (bp). To calculate how many of these shortest molecules fit into  $w_{\min}$ , we use the fact that the weight of linear double-stranded DNA molecules of length  $x$  (bp) is

$$W_{\text{ds}}(x) = 617.96 \cdot (x - 2) + 2 \cdot (617.96 + 18.02) = (617.96 \cdot x + 36.04) \text{ (g/mol)},$$

where the average molecular weight of one internal base pair is 617.96 g/mol, and the average molecular weight of the two bases at an extremity is  $(617.96 + 18.02)$  g/mol (this includes the weight of the additional -OH and -H groups at the ends), see [218]. If the DNA double strands are circular, then their weight is  $W_{\text{c}}(x) = 617.96 \cdot x$  g/mol.

Given that the number of all potential solutions to a given SSP instance of size  $n$  is  $2^n$ , it follows that the maximum number  $N_{\text{DNA}}^{\max}(n)$  of linear DNA molecules encoding the computing region of the input set is:

$$N_{\text{DNA}}^{\max}(n) = \frac{2^n \cdot w_{\min}}{W_{\text{ds}}(L_{\text{DNA}}^{\emptyset}(n) - k)} \text{ (mol)}.$$

It follows that the maximum volume required during the DNA-C procedure equals the total number  $N_{\text{DNA}}^{\max}(n)$  of plasmids, including the computing regions of the input set  $S$ , multiplied by the weight of one such “fully-stuffed” plasmid and divided by the density of DNA in the solution:

$$V_{\text{DNA}}^{\max}(n) = \frac{N_{\text{DNA}}^{\max}(n) \cdot W_{\text{c}}(b + L_{\text{DNA}}^S(n))}{d} \text{ (mL)},$$

where  $d$  is the density of the DNA solution in g/mL, and  $b$  is the number of base pairs in the part of the base plasmid that is used. Taking  $b = 2,174$  bp,  $k = 6$  bp,  $w_{\min} = 1 \cdot 10^{-9}$  g, and  $d = 1 \cdot 10^{-3}$  g/mL (see [90]), the estimated volumes of DNA molecules in the DNA-C

procedure for SSP with unit, prime, Fibonacci, and exponential input sets of different sizes are shown in Figure 5.9. If we take a 5 L as the maximum size of container that can be handled in a lab setting, the maximum size of an SSP instance that is solvable with the DNA-C procedure is  $n = 28$  for unit sets,  $n = 26$  for prime sets,  $n = 21$  for Fibonacci sets, and  $n = 17$  for exponential sets. Note that this is a theoretical upper limit, and that with a larger volume additional experimental, difficulties could arise at every step.

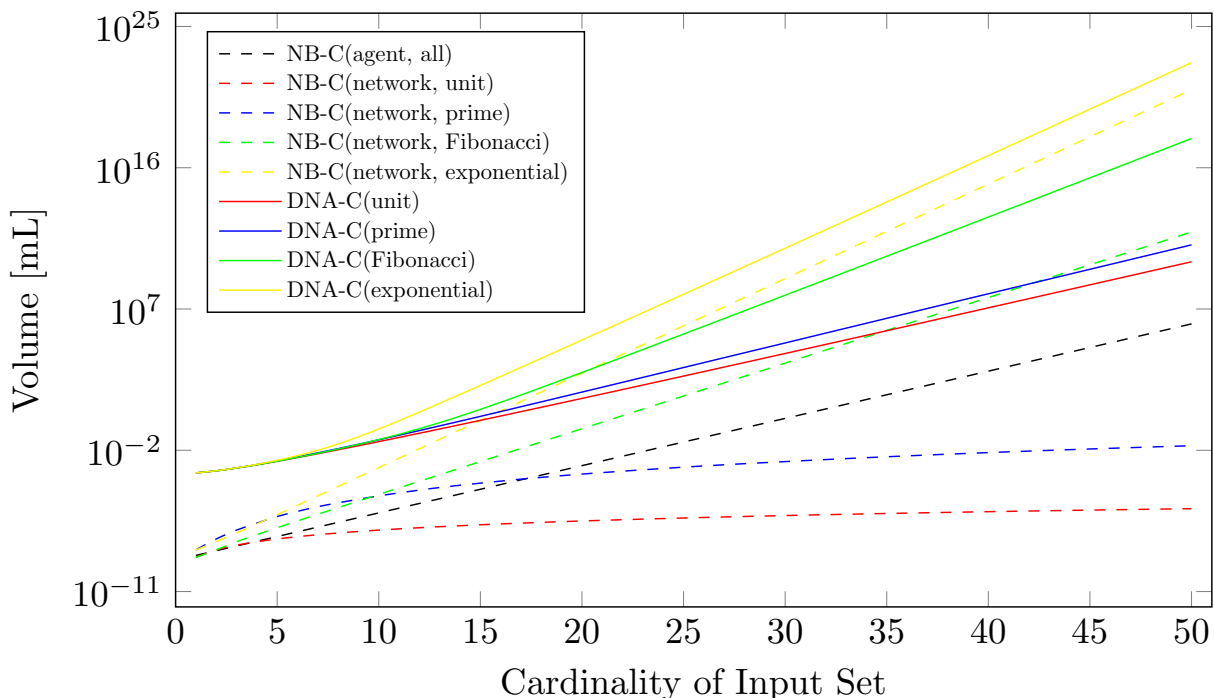


Figure 5.9: The estimated volumes of biological agents (solution of DNA molecules and bacteria, respectively) used by the DNA-C and NB-C methods and network channel volumes used by NB-C to solve an instance of SSP with unit, prime, Fibonacci, and exponential input sets of different cardinalities, from  $n = 1$  to  $n = 50$  (logarithmic scale). Note that the agent volume in NB-C is equal for all various SSP instances of the same cardinality.

For NB-C, in the bacterial-driven version, the volume of the computational agents required for solving a particular cardinality of SSP is dependent on the minimum number of bacteria needed for solving a specific cardinality. The minimum number of agents (bacteria) required to solve an SSP instance of cardinality  $n$  can be calculated using the

Euler coupon collector relation [253], with the Euler-Mascheroni constant  $\gamma \approx 0.577\,21$ , as:

$$M_{\text{NB-C}}(n) = 2 \cdot (2^n \cdot \ln(2^n) + \gamma \cdot 2^n + \frac{1}{2}).$$

A more conservative estimation will use a multiplier of the number provided by Euler’s relationship for the minimum number of agents to explore the SSP network for a given cardinality. Furthermore, the higher the error rates in the junctions, the larger the number of agents needed to solve SSP. According to experimental reports of bacterial errors, i.e., 0.5% at the pass junctions of SSP networks, a doubling of the value provided by the Euler relationship appears as conservatively justified [161, 253, 269]. The graph in Figure 5.9 presents the minimum volume of the required bacteria. A similar calculation can be made for cytoskeletal filaments, leading to smaller volume of the computational agents. At the other end of the spectrum, similar calculations can be performed for larger motile species, e.g., from the *Euglena* genus, leading to a considerably larger volume of agents. The volume of agents required during the NB-C approach is

$$V_{\text{NB-C}}(n) = \frac{M_{\text{NB-C}}(n)}{d}(\text{mL}),$$

where  $d$  is the density of the agents in the solution. Taking *E. coli* as the agent, which has a density of  $2 \cdot 10^9$  cells in 1 mL of culture solution [193], the estimated minimum volumes of agents required by the NB-C approach for solving SSP instances with unit, prime, Fibonacci, and exponential input sets of different sizes are shown in Figure 5.9. This value is equal for solving SSP instances with unit, prime, Fibonacci, and exponential input sets of the same cardinality.

For NB-C however, apart from the total (bacterial) agent volume needed, there is the need to also consider the volume of the network channels. This volume is calculated using the track lengths in all junction unit cells of a network design, multiplied by the track width and height (for *E. coli* networks being 2  $\mu\text{m}$  and 4  $\mu\text{m}$ , respectively). For the compact complexity class II networks, with unit, prime, and Fibonacci input sets, the network channel volume is expanding moderately with cardinality (Figure 5.9), as many channels (and exits) will be visited multiple times. However, for the (unary coded) two-exponential network, (complexity class I, in which sets can only be reached by one route), the network volume will rapidly increase with cardinality.

For electronic computers, it can be arguably assumed that at the limit, the computing agents are the electrons. In addition to their very small size, given their sequential processing of electronic computers, there is a very small need for “agents,” thus making the discussion regarding the volume of agents superfluous.

To summarize, the maximum physical volume required by the DNA-C and the (bacterial) agents and network volumes required by the NB-C methods to solve an SSP instance grows exponentially with the size of the input set. The volume required by the DNA-C algorithm also grows proportionally to the sum of the numbers in the input set. Compared with the NB-C method, the DNA-C method requires orders of magnitudes larger volumes even for unit input sets. For example, the NB-C method to solve an SSP instance with an input set of cardinality of  $n = 30$  requires approximately 1.07 mL of bacteria, while for the same cardinality the DNA-C method requires 14.7 L for unit sets, 68.8 L for the prime set,  $7.54 \cdot 10^4$  L for the Fibonacci set, and  $7.44 \cdot 10^7$  L for the exponential set.

### 5.5.3 Run time comparison

Perhaps the most important performance criterion for comparing various computing methods for solving NP-complete problems is the computing time required to solve a benchmark problem. Indeed, one of the goals of the research into alternative computing methods was to exploit their massive parallelism to shorten the computing time required to solve NP-complete problems.

The time complexity of a bio-algorithm comprises three parts: the time required for the pre-computing, the time required by the actual computation step (potential solutions' generation), and the time needed to read out the results. The time comparison in this section refers only to the time required during the actual computation step, called thereafter *run time*, and excludes the time spent in the pre-computing step (creating the plasmids in the case of DNA-C, and fabricating the network and culturing the bacteria in the case of NB-C). Similarly, the time spent for read-out analysis was not included either, because:

- The process is simple if only the existence of an SSP solution is considered.
- The process of finding the actual solutions could in principle be parallelized and thus achievable with present technologies, depending on cost considerations only.

For the solution generation step of the DNA-C approach, mentioned in Section 5.2, the DNA-C procedure for solving an SSP instance of size  $n$  comprises  $n$  split-and-merge steps. Each such step starts with the digestion of half of the plasmid population by restriction enzymes to cut out a specific number-encoding “station.” This is followed by purification by agarose gel electrophoresis to separate and remove the number-encoding “station” short DNA strands. This is followed, in turn, by the re-ligation of the longer linear strands, which include the computing region of some subset of the input set, back into circular plasmids.

Thus, if  $t_e$  is the time required for one restriction digestion,  $t_p$  the time required for one plasmid purification, and  $t_l$  the time required for one ligation, then the estimated run time for a DNA-C procedure solving a size  $n$  instance of SSP is:

$$T_{\text{DNA}}^{\max}(n) = (t_e + t_p + t_l) \cdot n \text{ (s)}.$$

Taking  $t_e = 0.5 \text{ h}$  (1,800 s),  $t_p = 1.5 \text{ h}$  (5,400 s), and  $t_l = 0.25 \text{ h}$  (900 s), see [90], this results in a run time complexity of  $T_{\text{DNA}}^{\max}(n) = 8,100 \cdot n \text{ (s)}$ , as illustrated in Figure 5.10, for various values of  $n$ . Note that the time complexity is always linear, but that larger restriction digestion time  $t_e$  for some enzymes could increase the constant in its formula.

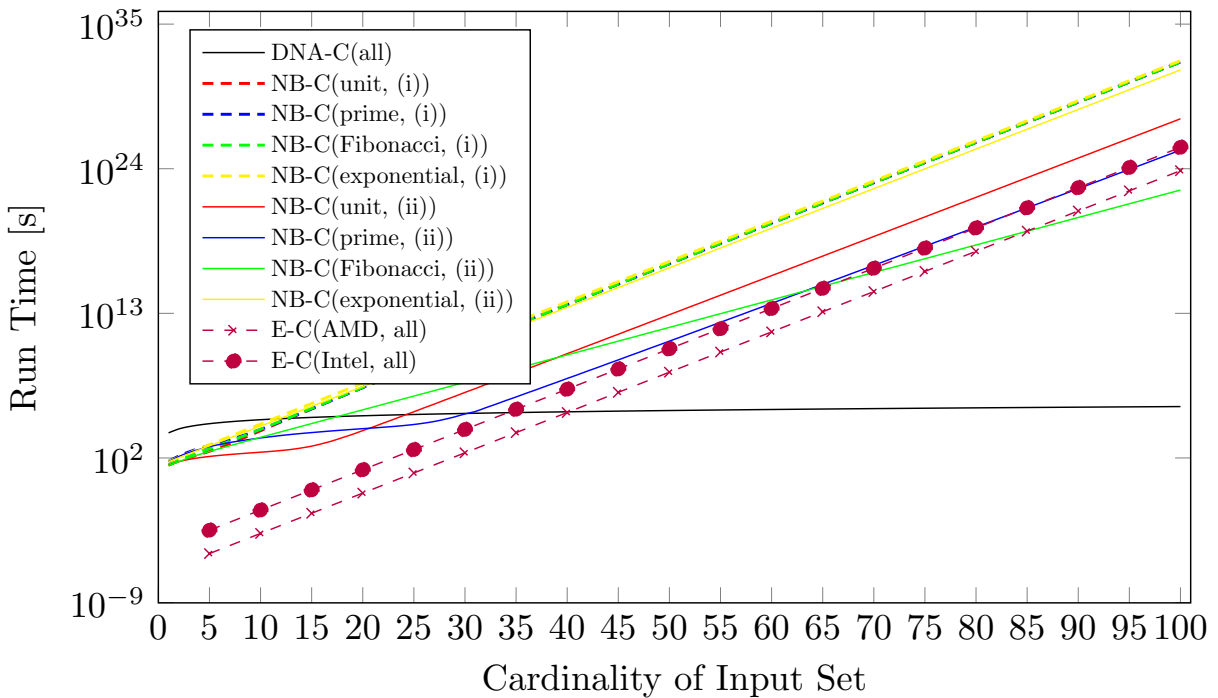


Figure 5.10: The estimated run time required by the DNA-C, NB-C, and E-C methods to solve an instance of SSP with input sets of different cardinalities, from  $n = 1$  to  $n = 100$  (logarithmic scale). The real run time of NB-C will be in between the curves depicting scenario (i) (combinatorial run mode) and scenario (ii) (multiplication run mode). Note that the run time of the DNA-C method grows linearly in the cardinality of the input set, while the run time of the NB-C and the E-C methods grows exponentially.

The total NB-C run time for solving SSP, as a function of cardinality of the input set, depends on many parameters but can be modelled as a mixture of two extreme run modes between which the “real world” operation takes place:

- (i) The combinatorial run mode [269]: agents enter the network at the starting point with a fixed booting frequency (determined by the effective agent length in a queue and the average agent speed) and proceed on their routes to the exits. The total run time is the time needed to boot all  $2^n$  agents (times the coupon collectors correction for stochastic multiple identical variable combinations [253]), plus the time needed for a single agent to run from start to exit. For low cardinality problems, the single agent run time is important; for high cardinality problems, this value is eclipsed by the booting time needed for all agents to enter the network.
- (ii) The optimum multiplication run mode [269]: a single agent enters at the starting point, and at every split junction there is agent multiplication (cell division). In case there is only one route to every legal SSP exit (complexity class I network), the total run time equals the (longest) one-agent run time from start to exit. This would be the case for the strongly expanding exponential set. More compact networks show multiple routes to the same exits (complexity class II network). As a consequence, there will be a rise in traffic density farther down the network; this may lead to traffic jams. In the “optimistic” scenario here, the agents simply wait until there is space available to proceed. The total run time is the run time of one agent plus the time needed to “de-boot” the agents that need to leave the (most-visited) middle exits of the network, with a fixed “de-booting” frequency (likewise determined by the effective agent length and average agent speed). Again, at low cardinality, the single agent run time is important, but for high cardinality problems, this value is eclipsed by the “de-booting” time needed for the agents to leave the exits in the middle part of the network.

In the “real world,” cell division will probably not occur at every split junction, and may slow down at higher traffic density. Regardless, the run time versus cardinality plot for a given network will be in between the curves of scenarios (i) and (ii) described above, also shown in Figure 5.10.

To summarize, the run time complexity of the DNA-C procedure,  $T_{\text{DNA}}^{\max}(n)$ , is linear in the problem size  $n$ , in contrast with the exponential run time complexity for both the NB-C and the E-C methods for solving SSP. In addition, the run time required by the NB-C method also grows linearly in the sum of the numbers in the input set. Overall, the linear run time complexity of the DNA-C procedure for SSP is its most competitive feature compared with both NB-C and E-C.

### 5.5.4 Energy comparison

Another key performance criterion, especially for high performance computing, is energy consumption. The following analysis takes into consideration the pre-computing procedures or readout energy consumption for none of the three computing methods considered.

In the computation step of the DNA-C procedure, two operations are employed: cutting by restriction enzymes and pasting by ligase enzymes, as described in Section 2.2. The restriction enzyme digestion is inexpensive in terms of energy consumption, as no external energy is needed [272]. However, ligation is energy-intensive, as ligases consume one ATP (6.3 kcal/mol = 26,359.2 J/mol of energy [63]) per backbone nick-sealing event. Ligating two DNA double strands together entails two such nick-sealing events, one for each single strand. Recall that the DNA-C procedure comprises  $n$  split-and-merge substeps, and each substep entails re-ligating half of the plasmids (namely those from which one number-representing station was cut out). Hence, the energy consumption of the computation step of the DNA-C procedure for an SSP instance of size  $n$  is:

$$E_{\text{DNA}}(n) = n \cdot \left(\frac{1}{2} N_{\text{DNA}}^{\max}(n)\right) \cdot (2 \cdot 26,359.2) \text{ (J)}.$$

Note that the energy cost for the computation stage of the DNA-C procedure grows exponentially in the input size  $n$ , due to exponential growth of the number of strands  $N_{\text{DNA}}^{\max}(n)$ , as illustrated in Figure 5.11. Note that, while the total energy cost grows exponentially in the input size  $n$ , the DNA-C procedure is very energy efficient when we consider the average electrical power in watts (energy divided by the run time, analyzed in Section 5.5.3). Indeed, even though the wattage also grows exponentially with  $n$ , for an input set size as large as  $n = 50$  the wattage needed is only about 20 W, similar to the energy consumption of an LED light bulb. Note that in order to keep the computation in an optimal reacting environment (temperature, concentration, etc.), additional energy sources may be required.

For the NB-C energy computation, at a given cardinality we know how many agents are needed to finish the calculation (including the coupon collector’s correction [253]). We know the locomotion energy needed for passing one node [269]. Hence, we can easily calculate the total locomotion energy needed to perform the calculation for the combinatorial run mode (no cell division, scenario (a) in Section 5.5.3), as shown in Figure 5.11. In the multiplication run mode (with cell division, scenario (b) in Section 5.5.3), on the one hand, we are over-calculating the locomotion energy because many agents originate somewhere in the network and need to run only part of the total track. On the other hand, we fully ignore the energy needed for agent multiplication (cell division), which is likely to cost much more than just running several nodes. At present, we do not yet have a proper energy estimate for the multiplication run mode.

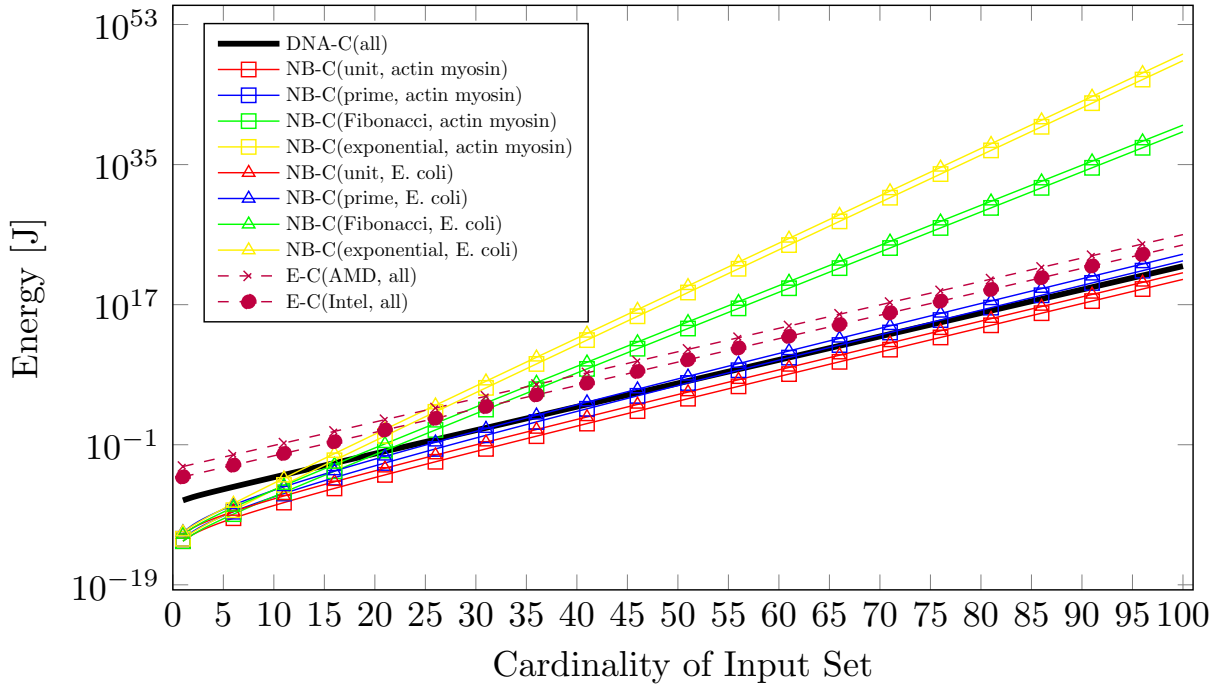


Figure 5.11: The energy consumed in the computation step of DNA-C, NB-C, and E-C methods to solve an instance of SSP with unit, prime, Fibonacci, and exponential input sets of different cardinalities, from  $n = 1$  to  $n = 100$  (logarithmic scale). Note that the energy cost of the DNA-C and E-C methods is independent of the type of input set and depends only on its cardinality, while the energy cost of the NB-C method depends on the cardinality, the sum of the numbers of the input set, and the type of agent (here E. coli or actin myosin).

Finally, the energy required by an E-C method to solve SSP can be easily calculated as the product between the number of operations required by the E-C procedure for solving a particular instance of SSP and the energy cost per operation from the chip specifications.

To summarize, the energy cost of the computation step for DNA-C, NB-C, and E-C grows exponentially with the size of the input set. Moreover, the energy cost in the computation step of the NB-C method also increases linearly in the sum of the numbers in the input set. Overall, NB-C appears to be more energy efficient than DNA-C in some cases (unit and prime input sets). In other cases (Fibonacci and exponential input sets), NB-C consumes more energy than DNA-C, increasingly so with the increase of the



input set cardinality and regardless of the agents used. However, despite the energy cost being high for NB-C in some cases, we note that bacteria can self-produce the ATP from cheaply available nutrient sources like beef extract, yeast extract, and tryptone, while for DNA-C the ATP has to be externally supplied as a purified additive. Hence, in a way, bacterial-based NB-C is more self-sustainable [116], despite its sometimes high energy cost compared to DNA-C. Finally, E-C appears to be an order of magnitude less energy efficient than DNA-C.

## 5.6 Conclusion

Our analysis showed that the sequentiality of E-C translated in a very small volume compared to that required by DNA-C and NB-C, at the cost of the E-C computing time being outperformed first by DNA-C (linear run time), and then by NB-C. Finally, NB-C appears to be more energy efficient than DNA-C for some types of input sets, while being less energy efficient than DNA-C for other types of input sets, while E-C is always an order of magnitude less energy efficient than DNA-C.

This scaling study suggests that currently none of these computing approaches won, even theoretically, for all three key performance criteria, and that they all required breakthroughs to overcome their limitations.

# Chapter 6

## Conclusions

We conclude this thesis by reviewing its contributions and suggesting future research topics.

This thesis investigated three inter-related topics of DNA computing: formal language models of two DNA computing bio-operations (Chapter 3), concepts in combinatorics of words that capture the properties of information encoded by DNA strands (Chapter 4), and a comparison between the time, space, and energy complexities of experimental implementations of DNA computing, network biocomputing, and electronic computing algorithms for solving the subset sum problem (Chapter 5).

In Chapter 3, we defined the operation called word blending, where the input words are  $\alpha w \gamma_1$  and  $\gamma_2 w \beta$  sharing a non-empty overlap  $w$ , and the output word is  $\alpha w \beta$ . This operation was motivated by an unexpected outcome of a wet lab experiment that attempted to recombine two DNA molecules containing the same gene. We studied closure properties of the Chomsky families of languages under this operation and its iterated version, the decidability of the existence of a solution to equations involving this operation, and the state complexity of this operation. We then defined and studied conjugate word blending, which is more closely related to XPCR experimental details, where  $\gamma_1$  and  $\gamma_2$  are required to be identical and non-empty. In the future, we can consider variations of word blending where a length restriction on parts of the input words is imposed.

In Chapter 4, a unified terminology for various definitions of Fibonacci words in the literature was proposed. It was then generalized to involutive Fibonacci words motivated by Watson-Crick complementarity. We have shown the borderedness and  $\phi$ -borderedness of involutive Fibonacci words under various conditions and the primitivity of atom involutive Fibonacci words defined with different (anti)morphic involutions. Future research topics

include the  $\phi$ -primitivity of involutive Fibonacci words and their combinatorial properties, such as the number of distinct factors and squares.

In Chapter 5, the experimental implementations of DNA computing (DNA-C), network biocomputing (NB-C), and electronic computing (E-C) algorithms for solving the subset sum problem were reviewed and compared. Our scaling analysis showed that none of DNA-C, NB-C, and E-C approaches won for all of the time, space, and energy complexities, and they all had their limitations and trade-offs. In the future, a similar analysis can be applied to other NP-complete problems, and we can work on a hybrid computation model that combines the advantages of different approaches.

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