

# On the number of $\alpha$ -power-free binary words for $2 < \alpha \leq 7/3$

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## Abstract

We study the number  $u_\alpha(n)$  of  $\alpha$ -power-free binary words of length  $n$ , and the asymptotics of this number when  $n$  tends to infinity, for a fixed rational number  $\alpha$  in  $(2, 7/3]$ . For any such  $\alpha$ , we prove a structure result that allows us to describe constructively the sequence  $u_\alpha(n)$  as a 2-regular sequence. This provides an algorithm that computes the number  $u_\alpha(n)$  in logarithmic time, for fixed  $\alpha$ . Then, generalizing recent results on  $2^+$ -free words, we describe the asymptotic behaviour of  $u_\alpha(n)$  in terms of *joint spectral quantities* of a pair of matrices that one can efficiently construct, given a rational number  $\alpha$ .

For  $\alpha = 7/3$ , we compute the automaton and give sharp estimates for the asymptotic behaviour of  $u_\alpha(n)$ .

*Key words:* Overlap-free words, Combinatorics on words, Joint spectral radius.

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<sup>1</sup> Raphaël Jungers is a FNRS fellow. His research was partially supported by Communauté française de Belgique - Actions de recherche concertées, by the HYCON Network of Excellence (contract number FP6-IST-511368) and by the Belgian Pro-

## 1 Introduction

In combinatorics on words, a square is the repetition of twice the same word, as for instance the word *baba*. In the same way of thinking, the  $k$ th power of a word ( $k \in \mathbb{N}$ ) consists in the concatenation of  $k$  times this word. This notion is classically generalized as follows: Let  $w = w_1 \dots w_n \in A^*$  be a non-empty finite word, and  $n = |w|$  (see [11] for usual definitions and notations of combinatorics on words). The *period* of  $w$  is the smallest positive integer  $p$  such that  $w_i = w_{i+p}$  for all  $i$  such that  $1 \leq i \leq i+p \leq n$ . Note that  $1 \leq p \leq n$ . The *period cycle* of  $w$  is the prefix of  $w$  of length  $p$ . The *exponent* of  $w$  is the rational number  $e(w) = n/p$ . As an example,  $e(abacabacab) = 10/4 = 5/2$ .

Since the beginning of the twentieth century, much research effort has been devoted to the so-called  $\alpha$ -power-free words. A word  $v \in A^* \cup A^\omega$  is  $\alpha$ -power-free if every finite factor  $w$  of  $v$  satisfies  $e(w) < \alpha$ . The word  $v$  is  $\alpha^+$ -power-free if every finite factor  $w$  of  $v$  satisfies  $e(w) \leq \alpha$ . It is easily seen that there are only finitely many binary *square-free* (i.e., 2-power-free) words. Indeed, every word of length 4 has a square. On the other hand, the infinite Thue-Morse word is *overlap-free* [11, 17] (i.e.,  $2^+$ -power-free), and so, there is an infinite number of overlap-free words.

More generally, on an alphabet with  $k$  letters, there is a threshold  $RT(k)$  such that there are only finitely many  $\alpha$ -power-free words for  $\alpha < RT(k)$ , and infinitely many for  $\alpha > RT(k)$ . The value of  $RT(k)$  was conjectured by Dejean in 1972:  $RT(2) = 2$ ,  $RT(3) = 7/4$ ,  $RT(4) = 7/5$ ,  $RT(k) = k/(k-1)$  for  $k \geq 5$ . Currently it is proved for  $k \leq 14$  [6, 12, 17] and for  $k \geq 30$  [3, 5].

So, for binary words, the distinction between finite number of  $\alpha$ -power-free words and infinite number is well understood. But the question arises to know how fast the number  $u_\alpha(n)$  of binary  $\alpha$ -power-free words of length  $n$  grows as a function of  $n$ .

Karhumäki and Shallit proved [9] that there are polynomially many  $7/3$ -power-free binary words, and exponentially many  $7/3^+$ -power-free binary words. The main ingredient in the proof is the following structure lemma (generalizing a result of [14] for overlaps):

**Lemma 1** [9] *Let  $A = \{a, b\}$ ,  $2 < \alpha \leq 7/3$ , and  $w \in A^*$  be  $\alpha$ -power-free. Then there exist  $x, y \in \{\varepsilon, a, b, aa, bb\}$  and  $v \in A^*$  such that  $v$  is  $\alpha$ -power-free and  $w = x\theta(v)y$ , where  $\theta$  is the Thue-Morse morphism:  $a \mapsto ab$ ,  $b \mapsto ba$ . Moreover,  $(x, v, y)$  is unique provided that  $|w| \geq 7$ .*

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gramme on Interuniversity Attraction Poles initiated by the Belgian Federal Science Policy Office. The scientific responsibility rests with the authors.

This lemma fails for  $\alpha > 7/3$ , for instance with  $w = abbabaabbaabaabbabaab$ .

Our goal is to compute exactly, or more precisely, the numbers  $u_\alpha(n)$ . Namely, we are interested in the following:

- if  $u_\alpha(n)$  is polynomial in  $n$ , find its degree;
- if  $u_\alpha(n)$  is exponential in  $n$ , find its basis;
- find recurrence relations to compute  $u_\alpha(n)$  efficiently.

A first idea is to iterate Lemma 1, producing a sequence of words  $(w_i)$ , such that  $w_n = w$ ,  $w_i = x_i\theta(w_{i-1})y_i$ , and  $w_0$  is short. The short word  $w_0$  and the sequence  $(x_1, y_1), \dots, (x_n, y_n)$  are enough to describe  $w$ . Unfortunately, not all sequences  $((x_i, y_i))$  are admissible. For overlap-free words, Carpi proved in 1993 that admissible sequences form a regular language. As a consequence,  $u_{2^+}(n)$  is a *2-regular sequence* in the sense of [1]. However it is not easy to compute an automaton explicitly.

In order to make this computation easier, a *subtractive* variant of Lemma 1 has been proposed for overlap-free words. In this variant, one has to take into account some words that are not overlap-free, but that are *almost overlap-free words* in the sense that they can be written as  $xy$  with  $x \in A$  such that  $y$  is overlap-free. Let  $U$  be the set of overlap-free binary words,  $V$  the set of almost overlap-free words, and  $S$  is the set of words in  $U \cup V$  of length less than 8. We also define the set  $E = \{\kappa, \delta, \iota\}$  of transformations acting on either end of a word and defined as follows:

- $\kappa$  does nothing;
- $\delta$  deletes the first (or last) letter of a word;
- $\iota$  inverts the first (or last) letter of a word.

**Lemma 2** [4] *Let  $w \in (U \cup V) \setminus S$ . Then there exists a unique pair  $(\gamma_1, \gamma_2) \in E \times E$  and  $v \in U \cup V$  such that  $w = \gamma_1.\theta(v).\gamma_2$ .*

The advantage of this lemma is that given the first few and last few characters of the word  $v$ , it is possible to determine which functions will produce  $2^+$ -free words and which ones will produce almost  $2^+$ -free words. Moreover, since it is also possible to compute the first few and last few characters of  $w$ , it is possible to iterate the procedure.

The subtractive structure lemma allows one to derive the following Theorem:

**Theorem 3** [4] *Let  $(Y_n)$  be the sequence of vectors in  $\mathbb{N}^{30}$  defined by initial terms and  $Y_{2n} = F_0Y_n$ ,  $Y_{2n+1} = F_1Y_n$  for  $n > 6$ , where  $F_0$  and  $F_1$  are specific matrices. Then  $u_{2^+}(n) = RY_n$  for some specific row vector  $R$ .*

Let us mention that in the above theorem, the entries of  $R$ ,  $F_0$ ,  $F_1$  are all in

the set  $\{0, 1, 2\}$ . This theorem allows to compute  $u_{2^+}(n)$  very efficiently, using the binary expansion of  $n$  to construct a product of the matrices  $F_0$  and  $F_1$ .

A surprising corollary is that, although  $u_{2^+}(n)$  grows polynomially, it does not have a fixed degree. Let  $r^- = \liminf \frac{\log u_{2^+}(n)}{\log n}$  and  $r^+ = \limsup \frac{\log u_{2^+}(n)}{\log n}$ . Then, considering subsequences  $u_{2^+}(2^m)$  and  $u_{2^+}(\frac{4^m-1}{3})$ , we get

$$r^- \leq \log_2 \rho(F_0) < \log_4 \rho(F_0 F_1) \leq r^+,$$

where  $\rho(F)$  denotes the spectral radius of the matrix  $F$ . Also, one can be interested in the function  $s(n) = \sum_{m < n} u_{2^+}(m)$ , which is easier to compute. Indeed, it satisfies the relation  $s(n) = \Theta(n^r)$  with

$$r = \log_2 \left( \frac{3}{2} + \sqrt{3} + \sqrt{\frac{5}{4} + \sqrt{3}} \right) = 2 \log_2 \rho(M) \simeq 2.3100,$$

where  $M = F_0 + F_1$ .

Based on Theorem 3, it is possible to show that the quantities  $r^+$  and  $r^-$  can be expressed in terms of *joint spectral quantities* of two matrices of size  $20 \times 20$ . For a given set of matrices  $\Sigma = \{A_1, \dots, A_m\}$  we denote by  $\check{\rho}$  and  $\hat{\rho}$  its lower spectral radius and its joint spectral radius:

$$\begin{aligned} \check{\rho}(\Sigma) &= \lim_{k \rightarrow \infty} \min_{d_1, \dots, d_k \in \{1, \dots, m\}} \|A_{d_1} \cdots A_{d_k}\|^{1/k}, \\ \hat{\rho}(\Sigma) &= \lim_{k \rightarrow \infty} \max_{d_1, \dots, d_k \in \{1, \dots, m\}} \|A_{d_1} \cdots A_{d_k}\|^{1/k}. \end{aligned} \quad (1)$$

Both limits are well-defined and do not depend on the chosen norm. Moreover, for any product  $A_{d_1} \cdots A_{d_k}$  we have

$$\check{\rho} \leq \rho(A_{d_1} \cdots A_{d_k})^{1/k} \leq \hat{\rho} \quad (2)$$

(see [2, 7, 13] for surveys on these notions). We have the following result:

**Theorem 4** [8] *There exist two matrices  $A_0, A_1 \in \{0, 1, 2\}^{20 \times 20}$  such that*

$$r^+ = \log_2 \hat{\rho}(\{A_0, A_1\}).$$

$$r^- = \log_2 \check{\rho}(\{A_0, A_1\}).$$

The proof of this theorem is based on numerical properties of the matrices  $F_0, F_1$  in Theorem 3. Thanks to this result, the following accurate estimates appear in [8]:

$$1.2690 < r^- < 1.2736 < 1.3322 < r^+ < 1.3326.$$

## 2 Construction of automata

In this section, we show how to adapt the above described techniques to  $\alpha$ -power-free words, for arbitrary rational  $\alpha \in (2, 7/3]$ . Again, the idea is to provide a structure result that is subtractive rather than additive. It expresses any  $\alpha$ -power-free word  $w$  as the image of a shorter word  $v$  that is “almost”  $\alpha$ -power-free under a function taken from a particular set. This result enables us to construct an automaton that describes the construction of all  $\alpha$ -power-free words.

Let  $\alpha \in \mathbb{Q}$ ,  $2 < \alpha \leq 7/3$ . We denote by  $U$  the set of  $\alpha$ -power-free binary words.

### 2.1 Some properties of $\alpha$ -powers

We start with a few useful lemmas.

A word  $w$  will be called an  $\alpha$ -power if  $e(w) \geq \alpha$  (note that the exponent need not be exactly  $\alpha$ ). This is consistent with the definition of  $\alpha$ -power-free words: a word is  $\alpha$ -power-free if and only if it contains no  $\alpha$ -power.

The following lemma is essentially due to Shur [15]. A more detailed proof can be found in [9].

**Lemma 5** [9, 15] *If  $\theta(v)$  contains an  $\alpha$ -power  $z$  of period  $p$ , then  $p$  is even and  $v$  contains an  $\alpha$ -power  $y$  of period  $p/2$ , such that  $\theta(y)$  contains  $z$ . In particular, if  $\theta(v)$  is an  $\alpha$ -power, then so is  $v$ , with half period.*

**PROOF.** If  $p$  is odd, then we find  $aa$  or  $bb$  at two positions of different parities in  $\theta(v)$ , which is impossible. So  $p$  is even. If  $|z|$  is even and  $z$  occurs at an even position (counting from 0), then it can be decoded and we find  $y$  such that  $\theta(y) = z$ . If  $|z|$  is odd, or  $z$  occurs at an odd position, or both, then  $z$  can be extended on one or both sides to get a longer  $\alpha$ -power of period  $p$  to which the previous case can be applied.  $\square$

An  $\alpha$ -power is said to be *minimal* if it contains no shorter  $\alpha$ -power. It turns out that minimal  $\alpha$ -powers are very constrained.

**Lemma 6** *Let  $x$  be the period cycle of a minimal  $\alpha$ -power  $z$ . Then  $x$  is either a letter (then  $|z| = 3$ ), or conjugated to  $aba$  or  $bab$  (then  $|z| = 7$ ), or has even length and is conjugated to  $\theta(x')$ , where  $x'$  is the period cycle of another*

minimal  $\alpha$ -power. Therefore  $x$  is conjugated to one of the words  $\theta^k(a)$ ,  $\theta^k(b)$ ,  $\theta^k(aba)$ ,  $\theta^k(bab)$ , with  $k \in \mathbb{N}$ .

**PROOF.** Consider all positions in  $w$  where  $aa$  or  $bb$  occur. Assume first that these positions do not all have the same parity. We can then find two successive such positions of different parities, i.e., a factor  $aa(ba)^k a$  or  $bb(ab)^k b$ . If  $k = 0$ , then  $w$  contains  $aaa$  or  $bbb$ , contradicting the minimality (except if  $w$  itself is  $aaa$  or  $bbb$ ). If  $k \geq 2$ , then  $w$  contains an internal factor  $ababa$  or  $babab$ , again contradicting the minimality. If  $k = 1$ , then  $w$  contains  $aabaa$  or  $bbabb$  (say the former). If it is an internal factor, then we get  $aaa$  or  $baabaab$ , depending on the surrounding letters, contradicting the minimality except if  $w = baabaab$ . If it is a prefix, then either  $w = aabaaba$  or  $|x| \geq 4$  and  $aabaa$  occurs again as an internal factor of  $w$  at position  $|x|$ , which we have seen is a contradiction. If it is a suffix, a similar argument gives  $w = abaabaa$ .

If  $|x|$  is odd, then either  $aa$  or  $bb$  occurs in  $x$ , or  $x$  is  $(ab)^k a$  or  $(ba)^k b$  and  $aa$  or  $bb$  occurs at position  $|x| - 1$  in  $w$ . In both cases, it occurs again  $|x|$  positions further, therefore the above argument applies.

If  $|x|$  is even, and all occurrences of  $aa$  and  $bb$  are at odd positions, then  $x$  can be factored on  $\{ab, ba\}$ , i.e.,  $x = \theta(x')$ . After possibly extending  $z$  by one letter  $y$  at the end to make its length even, we find an  $\alpha$ -power  $z'$  with period cycle  $x'$  such that  $z = \theta(z')$  or  $zy = \theta(z')$ . Then Lemma 5 ensures that  $z'$  is minimal.

If  $|x|$  is even, and all occurrences of  $aa$  and  $bb$  are at even positions, then let  $y$  be the last letter of  $x$  and  $y'$  the last letter of  $z$ . The word  $zyy'^{-1}$  is again a minimal  $\alpha$ -power, with period cycle conjugated to  $x$ , but now  $aa$  and  $bb$  occur at odd positions and the previous case can be applied.

Finally, the last statement is obtained by iteration.  $\square$

This lemma has an interesting corollary:

**Corollary 7** *Let  $2 < \alpha < 7/3$  be a real number. There exist  $\alpha^+$ -power-free words that are not  $\alpha$ -power-free if and only if  $\alpha = r/2^k$  or  $\alpha = r/(3 \cdot 2^k)$ , with integer  $r$  and  $k$ .*

**PROOF.** Suppose that  $w$  is  $\alpha^+$ -power-free but not  $\alpha$ -power-free. Let  $z$  be the shortest  $\alpha$ -power contained in  $w$ . By construction, it is a minimal  $\alpha$ -power, so by Lemma 6 its period  $p$  is  $2^k$  or  $3 \cdot 2^k$ . But as  $w$  is  $\alpha^+$ -power-free, the exponent of  $z$  cannot exceed  $\alpha$ , so it has to be exactly  $\alpha$ . Hence  $\alpha = e(z) = |z|/p$ .

Conversely, if  $\alpha = r/2^k \geq 2$ , let  $x = \theta^k(a)$ ; if  $\alpha = r/(3 \cdot 2^k) \geq 2$ , let  $x = \theta^k(aba)$ . Let then  $w$  be any factor of length  $r$  of  $x^4$ . The word  $w$  is not  $\alpha$ -power-free, as  $e(w) \geq |w|/|x| = \alpha$ . Assume that  $w$  contains an  $\alpha^+$ -power  $z'$ . Then the period of  $z'$  is  $p' = |z'|/e(z') < |w|/\alpha = |x|$ . Applying  $k$  times Lemma 5, we find that  $a^4$  or  $(aba)^4$  contains an  $\alpha^+$ -power of period  $p'/2^k < |x|/2^k$ . This is clearly impossible if  $|x| = 2^k$ ; if  $|x| = 3 \cdot 2^k$ , then it means that  $(aba)^4$  contains an  $\alpha^+$ -power of period 1 or 2, a contradiction. So  $w$  is  $\alpha^+$ -power-free.  $\square$

**Lemma 8** *Let  $w \in AUA$  be a word that does not contain  $\alpha$ -powers as internal factors. Let  $z$  and  $z'$  be two distinct prefixes of  $w$  that are  $\alpha$ -powers, with respective periods  $p$  and  $p'$ . Then  $p = p'$ , the longer word in  $\{z, z'\}$  is  $w$  itself, and the other one is shorter by just one letter.*

**PROOF.** Assume first that  $p < p'$ . Let  $x$  and  $x'$  be the respective period cycles of  $z$  and  $z'$ , and write  $z = xxy$ ,  $z' = x'x'y'$ . Recall that  $\alpha > 2$ , so  $y$  and  $y'$  are not empty. Note that  $|z| > |z'|$  is impossible, as the internal factor of length  $|z| - 2$  of  $z$  would then be an  $\alpha$ -power (its exponent being at least  $(|z'| - 1)/(p' - 1)$ , which is larger than  $|z'|/p' \geq \alpha$ ). Then  $|z| < |z'|$ , and  $z$  is a proper prefix of  $w$ . As a consequence,  $|z| < \alpha p + 1$ , otherwise  $z$  could be shortened to get an internal  $\alpha$ -power. In turn, this implies that  $|xy| < (\alpha - 1)p + 1 \leq (\alpha - 1)(p' - 1) + 1 < (\alpha - 1)p' \leq |x'y'|$ .

If  $|z| < |x'y'|$ , then  $z$  is a proper prefix of  $x'y'$  as  $x'y'$  is also a prefix of  $w$ . Then  $z$  occurs as an internal factor of  $w$ , a contradiction.

If  $|z| \geq |x'y'|$ , then  $xy$  is a proper prefix of  $x'y'$  and occurs at positions  $p$  and  $p'$  in  $w$ . We have  $(\alpha - 1)(2p + 1) = (\alpha - 2)(p + 1) + \alpha p + 1$ , where  $(\alpha - 2)(p + 1) > 0$  and  $\alpha p + 1 > |z| \geq |x'y'| = |z'| - p' \geq (\alpha - 1)p'$ . Consequently  $2p + 1 > p'$ , i.e.,  $p' - p \leq p$ . Let  $s$  be the suffix of length  $p' - p$  of  $x$ , so that the word  $sxy$  occurs at positions  $2p - p'$  and  $p$  in  $w$ . Then  $sxy$  is an internal factor of  $w$  with exponent  $e(sxy) \geq |sxy|/|s| = 1 + |xy|/(p' - p) \geq 1 + |xy|/p \geq \alpha$ , again a contradiction.

Assume now that  $p = p'$ , and that  $|z| < |z'|$ . Any factor of length  $|z|$  of  $z'$  is an  $\alpha$ -power, and we can find one that is an internal factor of  $w$  except in one case, when  $z' = w$  and  $|z| = |z'| - 1$ .  $\square$

## 2.2 Subtractive structure lemma

Lemma 1 (the structure lemma of Karhumäki and Shallit) is an *additive structure lemma*, as letters are added on both sides of  $\theta(v)$  to get  $w$ . Instead, we will use a *subtractive structure lemma* similar to Lemma 2, in which letters can be deleted from both sides of  $\theta(v)$  (and then also added).

We also consider a larger set of words,  $AUA$ . Its elements are *almost  $\alpha$ -power-free* words: they may contain an  $\alpha$ -power, but only as a prefix or as a suffix. The number  $w(n)$  of words of length  $n$  in  $AUA$  satisfies  $u_\alpha(n) \leq w(n) = 4u_\alpha(n-2)$ , and can therefore be used instead of  $u_\alpha(n)$  for computing asymptotic quantities such as  $r_\alpha^+ = \limsup \log u_\alpha(n) / \log n$ .

We define a set of five transformations  $E = \{\delta, \kappa, \iota, \sigma, \tau\}$ , extending the three transformations used in Lemma 2. Each element of  $E$  acts to the left of a non-empty word as follows:

- $\delta.xw = w$ ,
- $\kappa.xw = xw$ ,
- $\iota.xw = \bar{x}w$ ,
- $\sigma.xw = x\bar{x}w$ ,
- $\tau.xw = \bar{x}\bar{x}w$ ,

where  $x \in A$ , and  $\bar{x}$  denotes the other letter (so that  $A = \{x, \bar{x}\}$ ). Each  $\gamma \in E$  also acts to the right:  $w.\gamma$  is the mirror image of  $\gamma.\tilde{w}$ , where  $\tilde{w}$  denotes the mirror image of  $w$ .

**Lemma 9** *If  $w \in AUA$  and  $|w| \geq 9$ , then there exists a unique triple  $(\gamma_1, \gamma_2, v) \in E \times E \times (AUA)$  such that  $w = \gamma_1.\theta(v).\gamma_2$ .*

**PROOF.** Let  $w = x'w'y'$ , with  $x', y' \in A$  and  $w' \in U$ . Note that  $|w'| \geq 7$ . By Lemma 1, there exist  $r_1, r_2 \in \{\varepsilon, a, b, aa, bb\}$  and  $v' \in U$  such that  $w' = r_1\theta(v')r_2$ .

Let  $y$  be the first letter of  $r_2y'$ . Then, by construction,  $r_2y'$  is one of  $y, y\bar{y}, yy, yy\bar{y}, yyy$ . Defining  $\gamma_2$  as respectively  $\delta, \kappa, \iota, \sigma, \tau$ , we get  $r_2y' = \theta(y).\gamma_2$ . Similarly, let  $x$  be such that  $\bar{x}$  is the last letter of  $x'r_1$ . Then  $x'r_1 \in \{\bar{x}, x\bar{x}, \bar{x}\bar{x}, x\bar{x}\bar{x}, \bar{x}\bar{x}\bar{x}\}$  so that  $x'r_1 = \gamma_1.\theta(x)$  for an adequate  $\gamma_1$ . Let  $v = xv'y \in AUA$ : we then have  $w = \gamma_1.\theta(v).\gamma_2$ .

Conversely, assume that  $w = \gamma_1.\theta(v).\gamma_2$  with  $v \in AUA$ . Let  $w = x'w'y'$  and  $v = xv'y$  (note that  $|v|$  must be at least 4, since  $|w| \geq 9$ , each transformation increases the length at most by 1, and  $\theta$  doubles the length). Then  $w = r_1\theta(v')r_2$  where  $r_1 = (x')^{-1}\gamma_1.\theta(x)$  and  $r_2 = \theta(y).\gamma_2(y')^{-1}$ . Note that  $v' \in U$  and  $r_1, r_2 \in \{\varepsilon, a, b, aa, bb\}$ , and that the map between  $(x', y', r_1, r_2)$  and  $(x, y, \gamma_1, \gamma_2)$  is one-to-one. Therefore uniqueness of  $(r_1, r_2, v')$  guarantees uniqueness of  $(\gamma_1, \gamma_2, v)$ .  $\square$

The bound 9 in Lemma 9 is the best possible: indeed, the word  $w = aaababba$ , for instance, has two decompositions,  $aaababba = \tau.\theta(bbb).\sigma = \iota.\theta(baab).\kappa$ .



We define a map  $\Phi: AA^+ \times (E \times E)^*$  inductively as follows:  $\Phi(u, \varepsilon) = u$ , and  $\Phi(u, (\gamma_1, \gamma_2)\xi) = \Phi(\gamma_1.\theta(u).\gamma_2, \xi)$ , for any  $u \in AA^+$  (a word of length at least 2),  $(\gamma_1, \gamma_2) \in E \times E$  (a pair of transformations), and  $\xi \in (E \times E)^*$  (a sequence of pairs of transformations). This allows to iterate Lemma 9 and to represent elements of  $AUA$  as images, under a repeated application of  $\theta$  alternated with transformations from  $E$  on both sides, of an initial short word.

### 2.3 One-sided control

The converse of Lemma 9 does not hold: given  $(\gamma_1, \gamma_2, v) \in E \times E \times (AUA)$ ,  $w = \gamma_1.\theta(v).\gamma_2$  need not be in  $AUA$ , as internal  $\alpha$ -powers may appear. Lemma 5 ensures that the morphism  $\theta$  itself does not create  $\alpha$ -powers, but the transformations  $\gamma_1$  and  $\gamma_2$  may do so.

Let  $v = xv'y$ : as  $v' \in U$ , by Lemma 5 also  $\theta(v') \in U$ . If  $w$  contains an internal  $\alpha$ -power, then it has to touch either the prefix  $\gamma_1.\theta(x)$ , or the suffix  $\theta(y).\gamma_2$ , or both. We first restrict to  $\alpha$ -powers that do not touch  $\theta(y).\gamma_2$ , and for this we may as well assume that  $\gamma_2 = \delta$ .

**Lemma 10** *Let  $\gamma_1 \in E$  and  $v = xv'y \in AUA$ , with  $x, y \in A$  and  $|v| \geq 5$ . Then  $w = \gamma_1.\theta(v).\delta$  contains an internal  $\alpha$ -power  $z$  if and only if one of the following situations occur:*

- $\gamma_1$  is  $\sigma$  or  $\tau$ , and  $v$  starts with  $ab$  or  $ba$  (then  $z$  is  $aaa$  or  $bbb$ );
- $\gamma_1$  is  $\sigma$  or  $\tau$ , and  $v$  starts with  $aabb$  or  $bbaa$  (then  $z$  is  $aabaaba$  or  $bbabbab$ );
- $\gamma_1$  is other than  $\delta$ , and  $v$  has a proper prefix which is an  $\alpha$ -power  $z'$  of period  $p$ , with  $e(z') \geq \alpha + 1/2p$  (then  $z = \delta.\theta(z')$ ).

**PROOF.** First note that, as  $\alpha \leq 7/3 < 5/2 < 3$ , the words  $aaa$ ,  $ababa$ ,  $aabaaba$ ,  $abaabaa$ ,  $baabaab$  and their complements are  $\alpha$ -powers whatever the value of  $\alpha$ . Moreover, they are the only minimal  $\alpha$ -powers of period up to 3.

In each of the three situations, it is clear that  $w$  contains an internal  $\alpha$ -power.

Conversely, assume that  $w$  contains an internal  $\alpha$ -power  $z$ , which can be taken minimal. As we saw above,  $z$  has to touch either the prefix  $\gamma_1.\theta(x)$  or the suffix  $\theta(y).\delta = y$ , and the latter is impossible since  $z$  is internal. So  $\gamma_1 \neq \delta$ ; if  $\gamma_1$  is  $\kappa$  or  $\iota$ , then  $z$  starts at position 1 in  $w$  (counting from 0), so it is a prefix of  $\delta.\theta(xv') = \bar{x}\theta(v')$ ; if  $\gamma_1$  is  $\sigma$  or  $\tau$ , then either  $z$  starts at position 2 and is again a prefix of  $\delta.\theta(xv')$ , or  $z$  starts at position 1 and it is a prefix of  $\iota.\theta(xv') = \bar{x}\bar{x}\theta(v')$ .

If  $z$  has odd period, then by Lemma 6 its period is 1 or 3, and it is easily

checked that the only possibilities are  $aaa$  and  $aabaaba$ , and complements, occurring as prefixes of  $\iota.\theta(xv')$ , which correspond to the first two cases.

If  $z$  has even period  $2p$ , then it cannot be a prefix of  $\iota.\theta(xv')$ , or  $\bar{x}\bar{x}$  would occur at an even position in  $\theta(v')$ . So it is a prefix of  $\delta.\theta(xv')$ , and by Lemma 5 we get an  $\alpha$ -power  $z'$  of period  $p$  in  $v$  (that must be a proper prefix) such that  $\theta(z')$  contains  $z$ . Actually  $z$  is a prefix of  $\delta.\theta(z')$ , so we have  $2|z'| - 1 \geq 2p\alpha$  and  $e(z') \geq \alpha + 1/2p$ .  $\square$

Note that, unlike for the first two cases, the conditions in which the third case occurs are rather sensitive to the value of  $\alpha$ . For instance, if  $v = ababaab$ , then  $w = \kappa.abbaabbaababba.\delta = abbaabbaababb$  contains  $bbaabbaab$  as an internal  $\alpha$ -power if  $\alpha \leq 9/4$ .

To control the first two cases (as well as the subcase  $p = 2$  of the third one), we define the *prefix type* of a word  $w$  of length at least 4 as  $t_1 \in \{aaa, aaba, aabb, aba, abb\}$  such that  $w$  starts with  $t_1$  or  $\bar{t}_1$ .

**Lemma 11** *Let  $v \in AUA$ ,  $|v| \geq 4$ , and  $\gamma_1, \gamma_2 \in E$ . Assume that  $w = \gamma_1.\theta(v).\gamma_2 \in AUA$ . Then the prefix type of  $w$  is determined by  $\gamma_1$  and the prefix type of  $v$ , according to Table 1 below, where the columns correspond to the prefix type of  $v$  and the rows correspond to the function  $\gamma_1$ . An  $X$  in the table means that  $w$  cannot be in  $AUA$ .*

	$aaa$	$aaba$	$aabb$	$aba$	$abb$
$\delta$	$aba$	$aba$	$aba$	$aabb$	$aaba$
$\kappa$	$X$	$aba$	$aba$	$abb$	$abb$
$\iota$	$X$	$aaba$	$aaba$	$aaa$	$aaa$
$\sigma$	$X$	$abb$	$X$	$X$	$X$
$\tau$	$X$	$aaa$	$X$	$X$	$X$

Table 1

Relations between the type of  $v$  and the type of  $w = \gamma_1.\theta(v).\gamma_2$ .  $X$  means that  $w \notin AUA$

**PROOF.** Since  $|v| \geq 4$ , the prefix of length 5 of  $\theta(v).\gamma_2$  is not affected by  $\gamma_2$ , and depends only on the prefix type of  $v$ . Therefore the prefix type of  $w$  depends only on the prefix type of  $v$  and  $\gamma_1$ , and is easy to compute.

It remains to explain the  $X$  in the table. If the prefix type of  $v$  is  $aabb$ ,  $aba$ , or  $abb$ , and  $\gamma_1 \in \{\sigma, \tau\}$ , then  $w$  contains an internal  $\alpha$ -power by the first two cases of Lemma 10. If the prefix type of  $v$  is  $aaa$ , and  $\gamma_1 \neq \delta$ , then  $w$  contains an internal  $\alpha$ -power ( $ababa$  or  $babab$ ) by the third case of Lemma 10.  $\square$

We now turn to the third case. We define the *prefix excess* of a word  $w$  as the maximal value  $f_1$  of  $|z| - p\alpha$ , where  $z$  is a proper prefix of  $w$  of period  $p = |z|/e(z)$ . If  $w \in UA$ , then its prefix excess is negative (and its actual value does not matter); if  $w \in AUA \setminus UA$ , then its prefix excess is in  $[0, 1)$ . The condition  $e(z) \geq \alpha + 1/2p$  in the third case of Lemma 10 translates to  $f_1 \geq 1/2$ .

**Lemma 12** *Let  $v \in AUA$ ,  $|v| \geq 5$ , and  $\gamma_1, \gamma_2 \in E$ . Assume that  $w = \gamma_1.\theta(v).\gamma_2 \in AUA$ . Let  $t_1$  be the prefix type and  $f_1$  the prefix excess of  $v$ . Assume also, if  $\gamma_1$  is  $\delta$  or  $\kappa$ , that  $v$  is not itself an  $\alpha$ -power. Then the prefix excess  $f'_1$  of  $w$  is as follows:*

- if  $f_1 < 1/2$ :
  - if  $\gamma_1 = \delta$ , then  $f'_1 < 0$ ;
  - if  $\gamma_1 = \kappa$ , then  $f'_1 = 2f_1$  if  $f_1 \geq 0$  and  $f'_1 < 0$  otherwise;
  - if  $\gamma_1 = \iota$ , then  $f'_1 < 0$  if  $t_1 = aaba$ ,  $f'_1 = 7 - 3\alpha$  if  $t_1 = aabb$ , and  $f'_1 = 3 - \alpha$  if  $t_1 = aba$  or  $t_1 = abb$ ;
  - if  $\gamma_1 = \sigma$ , then  $f'_1 = 7 - 3\alpha$ ;
  - if  $\gamma_1 = \tau$ , then  $f'_1 = 3 - \alpha$ ;
- if  $f_1 \geq 1/2$ :
  - if  $\gamma_1 = \delta$ , then  $f'_1 = 2f_1 - 1$ ;
  - otherwise,  $w \notin AUA$ .

**PROOF.** Let  $z$  be a proper prefix of  $v$  such that  $f_1 = |z|(1 - \alpha/e(z))$  (by Lemma 8,  $z$  is unique when  $f_1 \geq 0$ ). If  $\gamma_1 = \kappa$ , then  $\theta(z)$  is a proper prefix of  $w$ , and  $e(\theta(z)) \geq e(z)$ , so that  $f'_1 \geq |\theta(z)|(1 - \alpha/e(\theta(z))) \geq 2f_1$ . If  $\gamma_1 = \delta$ , then  $\delta.\theta(z)$  is a proper prefix of  $w$ , with the same period as  $\theta(z)$ , so that  $f'_1 \geq 2f_1 - 1$ . If  $\gamma_1 = \sigma$ , then the only possibility is  $t_1 = aaba$ , and then *abbabba* or *baabaab* is a proper prefix of  $w$ , so that  $f'_1 \geq 7 - 3\alpha$ . If  $\gamma_1 = \tau$ , then  $w$  is of prefix type *aaa*, so that  $f'_1 \geq 3 - \alpha$ . If  $\gamma_1 = \iota$  and  $t_1 = aabb$ , then *bbabbab* or *aabaaba* is a proper prefix of  $w$ , so that  $f'_1 \geq 7 - 3\alpha$ . If  $\gamma_1 = \iota$  and  $t_1 = aba$  or  $t_1 = abb$ , then  $w$  is of prefix type *aaa*, so that  $f'_1 \geq 3 - \alpha$ . Therefore the values given in the lemma are lower bounds.

By Lemma 8, in the cases where we have found an  $\alpha$ -power of length 3 or 7 as a prefix of  $w$ , no other prefix can be an  $\alpha$ -power (note that  $\gamma_1 \neq \delta$  in those cases so that  $|w| \geq 9$  as  $|v| \geq 5$ ).

For the other cases, it remains to show that  $f'_1$  cannot be higher than the values given. Assume the contrary. Then an  $\alpha$ -power  $z'$  such that  $f'_1 = |z'|(1 - \alpha/e(z'))$  occurs as a proper prefix of  $w$ . Let  $x'$  be its period cycle, so that  $x'x'$  is a proper prefix of  $w$ . Note that  $z'$  cannot touch the suffix of  $w$  affected by  $\gamma_2$  (i.e., the second from last letter in  $w$  when  $\gamma_2$  is  $\sigma$  or  $\tau$ ), because  $z'$  would then end in *aaa*, *bbb*, *aabaa*, *bbabb* which would then have another occurrence in the

middle of  $\theta(v)$ .

If  $\gamma_1 = \kappa$ , then by Lemma 5 there is a prefix  $z$  of  $v$  of period  $|x'|/2$  and exponent at least  $e(z')$ , and it is a proper prefix since we assumed that  $v$  is not an  $\alpha$ -power in this case. Therefore  $f_1 \geq f'_1/2$ .

If  $\gamma_1 = \delta$ , then  $z$  can be extended to the left to get an  $\alpha$ -power as a proper prefix of  $\theta(v)$ , and then by the previous argument we get  $f_1 \geq (f'_1 + 1)/2$ .

The only remaining case is when  $\gamma_1 = \iota$  and  $t_1 = aaba$ . Then  $w$  starts with  $bbabbaa$ . It is clear that  $|x'|$  cannot be less than 7, but then  $bbabbaa$  has to occur a second time, a contradiction.  $\square$

Lemma 12 requires in some cases that  $v$  is not an  $\alpha$ -power. The following lemma ensures that this property propagates to  $w$ .

**Lemma 13** *Let  $v \in AUA$ , with  $|v| \geq 5$ , and  $\gamma_1, \gamma_2 \in E$ . Assume that  $w = \gamma_1.\theta(v).\gamma_2 \in AUA$ . If  $v$  is not an  $\alpha$ -power, then  $w$  is not an  $\alpha$ -power either.*

**PROOF.** Assume that  $w$  is an  $\alpha$ -power. If  $\gamma_1$  is  $\iota, \sigma$  or  $\tau$ , then  $w$  contains at position 0 or 1 one of  $aaa, bbb, aabaa, bbabb$ , which must then have another occurrence in the middle of  $\theta(v)$ , a contradiction ( $|v| \geq 5$  is needed here). The same argument applies to  $\gamma_2$ . So both  $\gamma_1$  and  $\gamma_2$  are  $\kappa$  or  $\delta$ , and then Lemma 5 implies that  $v$  is an  $\alpha$ -power.  $\square$

With Lemmas 11 and 12, we can keep track of  $t_1$  and  $f_1$  when Lemma 9 is iterated (excluding  $\alpha$ -powers for the moment).

When  $\alpha$  is rational,  $f_1$  takes finitely many useful values, so that this can be done with a deterministic finite automaton  $\mathcal{A}_\alpha$ . Assume that  $\alpha = r/q$ , with  $r$  and  $q$  coprime. The states of  $\mathcal{A}_\alpha$  are labelled  $(t_1, \hat{f}_1)$ , where  $t_1 \in \{aaa, aaba, aabb, aba, abb\}$  is the prefix type and  $\hat{f}_1 \in \{-, 0, 1, \dots, q-1\}$  is  $-$  if the prefix excess is negative, and  $\hat{f}_1 = qf_1$  if  $f_1 \geq 0$  (indeed, this is an integer between 0 and  $q-1$ ). Accepting states (for  $UA$ ) are states with  $\hat{f}_1 = -$ . Transitions of  $\mathcal{A}_\alpha$  are labelled by  $E$ , and  $(t'_1, \hat{f}'_1) = \gamma_1.(t_1, \hat{f}_1)$  is defined as follows:

- $t'_1$  is given by Table 1 (if the table has an  $X$ , there is no transition);
- $\hat{f}'_1$  is given by Lemma 12 (if  $\hat{f}_1 \geq q/2$  and  $\gamma_1 \neq \delta$ , there is no transition).

## 2.4 Two-sided control

We define the suffix type  $t_2$  and the suffix excess  $f_2$  of  $v$  as the prefix type and prefix excess of  $\tilde{v}$ . However, it is not enough to consider both ends of the word independently: we need a special treatment for  $\alpha$ -powers that touch both  $\gamma_1.\theta(x)$  and  $\theta(y).\gamma_2$ .

Let the global excess  $g$  of  $v$  be  $|v| - p\alpha$ , where  $p$  is the period of  $v$ : it is non-negative when  $v$  is an  $\alpha$ -power, and  $g < 2$ . By Lemma 8, if  $0 \leq g < 1$  then  $f_1$  and  $f_2$  are both negative, and if  $1 \leq g < 2$  then  $f_1 = f_2 = g - 1$ .

**Lemma 14** *Let  $\gamma_1, \gamma_2 \in E$  and  $v = xv'y \in AUA$ , with  $x, y \in A$  and  $|v| \geq 5$ . Let  $t_1, t_2, f_1, f_2$ , and  $g$  be the types and excesses associated with  $v$ . Then  $w = \gamma_1.\theta(v).\gamma_2$  contains an internal  $\alpha$ -power  $z$  if and only if one of the following situations occur:*

- $(\gamma_1, v)$  satisfies one of the three conditions in Lemma 10;
- $(\gamma_2, \tilde{v})$  satisfies one of the three conditions in Lemma 10;
- $g \geq 1$ ,  $\gamma_1 \neq \delta$ , and  $\gamma_2 \neq \delta$  (then  $z = \delta.\theta(v).\delta$ ).

**PROOF.** In each of the three situations, it is clear that  $w$  contains an internal  $\alpha$ -power.

Conversely, assume that  $w$  contains an internal  $\alpha$ -power  $z$ , which can be taken minimal. We can also assume that Lemma 10 does not apply on either side. Then  $z$  touches both  $\gamma_1.\theta(x)$  and  $\theta(y).\gamma_2$ , so neither  $\gamma_1$  nor  $\gamma_2$  is equal to  $\delta$ , and  $z$  contains  $\delta.\theta(v).\delta$ , which implies that  $|z| \geq 2|v| - 2 \geq 8$ . In particular, by Lemma 6,  $z$  has even period  $2p \geq 4$ .

If  $\gamma_1$  is  $\sigma$  or  $\tau$  and  $z$  starts at position 1 in  $w$ , then  $z$  starts with  $\bar{x}\bar{x}$ , which then occurs at position  $2p$  in  $\theta(v)$ , a contradiction. Similarly it is impossible to have  $\gamma_2$  equal to  $\sigma$  or  $\tau$  and  $z$  ending only one letter before the end of  $w$ . In all cases that remain,  $z = \delta.\theta(v).\delta$ , which implies by Lemma 5 that  $xzy = \theta(v)$  is an  $(\alpha + 1/p)$ -power, and so is  $v$ , with period  $p$ . Therefore  $g \geq 1$  and we are in the third case.  $\square$

The following lemma describes how global excess evolves, as well as how it influences prefix and suffix excesses in the cases not covered by Lemma 12.

**Lemma 15** *Let  $v \in AUA$ ,  $|v| \geq 5$ , and  $\gamma_1, \gamma_2 \in E$ . Let  $t_1, t_2, f_1, f_2$ , and  $g$  be the types and excesses associated with  $v$ . Assume that  $w = \gamma_1.\theta(v).\gamma_2 \in AUA$ . Then the global excess  $g'$  of  $w$  is determined by  $(\gamma_1, \gamma_2)$  and by  $g$ , according to Table 2, where the columns correspond to intervals of values of  $g$  and the rows*

correspond to pairs  $(\gamma_1, \gamma_2)$ . A  $*$  in a row label stands for any of  $\iota, \sigma, \tau$ . An  $X$  in the table means that  $w$  cannot be in  $AUA$ . Some values of the prefix excess  $f'_1$  and of the suffix excess  $f'_2$  of  $w$  are also given in the table, when Lemma 12 does not apply.

	$g < 0$	$0 \leq g < 1/2$	$1/2 \leq g < 1$	$1 \leq g < 3/2$	$3/2 \leq g < 2$
$(\delta, \delta)$	$g' < 0$	$g' < 0$ $f'_1 < 0, f'_2 < 0$	$g' < 0$ $f'_1 < 0, f'_2 < 0$	$g' = 2g - 2$ $f'_1 < 0, f'_2 < 0$	$g' = 2g - 2$ $f'_1 = f'_2 = 2g - 3$
$(\delta, \kappa)$ $(\kappa, \delta)$	$g' < 0$	$g' < 0$ $f'_1 < 0, f'_2 < 0$	$g' = 2g - 1$ $f'_1 < 0, f'_2 < 0$	$g' = 2g - 1$ $f'_1 = f'_2 = 2g - 2$	$X$
$(\kappa, \kappa)$	$g' < 0$	$g' = 2g$ $f'_1 < 0, f'_2 < 0$	$g' = 2g$ $f'_1 = f'_2 = 2g - 1$	$X$	$X$
$(\delta, *)$	$g' < 0$	$g' < 0$ $f'_1 < 0$	$g' < 0$ $f'_1 < 0$	$g' < 0$ $f'_1 = 2g - 2$	$X$
$(*, \delta)$	$g' < 0$	$g' < 0$ $f'_2 < 0$	$g' < 0$ $f'_2 < 0$	$g' < 0$ $f'_2 = 2g - 2$	$X$
$(\kappa, *)$	$g' < 0$	$g' < 0$ $f'_1 < 0$	$g' < 0$ $f'_1 = 2g - 1$	$X$	$X$
$(*, \kappa)$	$g' < 0$	$g' < 0$ $f'_2 < 0$	$g' < 0$ $f'_2 = 2g - 1$	$X$	$X$
$(*, *)$	$g' < 0$	$g' < 0$	$g' < 0$	$X$	$X$

Table 2

Relations between the global excess  $g$  of  $v$  and the global excess  $g'$  of  $w = \gamma_1.\theta(v).\gamma_2$ . The symbol  $*$  means any of  $\iota, \sigma, \tau$ , and  $X$  means that  $w \notin AUA$

We now have all the elements to state our main structure result.

**Theorem 16** *Let  $2 < \alpha \leq 7/3$  be a rational number. There exist finite sets of words  $S$  and  $U_0$ , and a regular language  $L \subset S \times (E \times E)^*$ , recognized by an explicit automaton  $\mathcal{B}_\alpha$ , such that  $\Phi$  induces a one-to-one map from  $L$  to  $U \setminus U_0$ , where  $U$  is the language of  $\alpha$ -power-free binary words.*

**PROOF.** Let  $U_0$  be the set of  $\alpha$ -power-free binary words of length up to 4. This set has 23 elements and does not depend on  $\alpha$ .

Recall that  $\alpha = q/r$ . We construct an automaton  $\mathcal{B}_\alpha$  with states  $(t_1, \hat{f}_1, t_2, \hat{f}_2, \hat{g})$ ,

where  $\hat{f}_2 \in \{-, 0, 1, \dots, q-1\}$  and  $\hat{g} \in \{-, 0, 1, \dots, 2q-1\}$  are defined as  $\hat{f}_1$ . There are  $25 \cdot (q+1)^2 \cdot (2q+1)$  such tuples, but most of them are not used since, for instance,  $t_1 = aaa$  implies  $\hat{f}_1 = 3q-r$ , or  $\hat{g} \neq -$  determines  $\hat{f}_1$  and  $\hat{f}_2$ . Transitions are labelled by  $E \times E$ , and  $(t'_1, \hat{f}'_1, t'_2, \hat{f}'_2, \hat{g}') = (\gamma_1, \gamma_2) \cdot (t_1, \hat{f}_1, t_2, \hat{f}_2, \hat{g})$  is defined as follows:

- $t'_1$  is given by Table 1 applied to  $\gamma_1$  and  $t_1$ ;
- $t'_2$  is given by Table 1 applied to  $\gamma_2$  and  $t_2$ ;
- $\hat{f}'_1$  is given by Lemma 12, except when  $g \geq 0$  and  $\gamma_1 \in \{\delta, \kappa\}$  where it is given by Table 2;
- $\hat{f}'_2$  is given symmetrically;
- $\hat{g}'$  is given by Table 2.

If an impossibility occurs at any of these steps, then the transition does not exist.

Let  $S$  be the set of elements of  $AUA$  of length 5 to 7, as well as those elements of  $AUA$  of length 8 to 10 that cannot be obtained from a shorter element of  $S$ . We add to the automaton an extra state  $i$ , which will be the initial state, with for each  $v$  in  $S$  a transition labelled by  $v$  from  $i$  to the state describing  $v$ . Accepting states are states with  $\hat{f}_1 = \hat{f}_2 = \hat{g} = -$ . Finally, the automaton can be trimmed of all unreachable states.

Let  $L = L(\mathcal{B}_\alpha)$ . According to the previous lemmas,  $\Phi(u, \xi) \in U \setminus U_0$  for any  $(u, \xi)$  in  $L$ . The choice of  $S$  and Lemma 9 ensure that the map is one-to-one.

### 3 Counting $\alpha$ -power-free binary words

We now study the consequences of Theorem 16 on  $u_\alpha(n)$ .

#### 3.1 A 2-regular sequence

**Theorem 17** *The sequence  $u_\alpha(n)$  is 2-regular in the sense of [1]: there exists integers  $m$  and  $d$ , matrices  $F_0$  and  $F_1$  in  $\mathbb{N}^{d \times d}$ , vectors  $Y_0, \dots, Y_{2^m-1}$  in  $\mathbb{N}^d$ , and a row vector  $R$  in  $\mathbb{N}^{1 \times d}$  such that, if the sequence of vectors  $(Y_n)$  is defined inductively by  $Y_{2n} = F_0 Y_n$  and  $Y_{2n+1} = F_1 Y_n$  for  $n \geq 2^{m-1}$ , then  $u_\alpha(n) = R Y_n$  for all  $n \geq 0$ .*

**PROOF.** We first get recurrence relations  $X_{2n} = G_{-2} X_{n+1} + G_0 X_n + G_2 X_{n-1}$  and  $X_{2n+1} = G_{-1} X_{n+1} + G_1 X_n$ , where  $X_n$  is the vector that counts the number

of words of length  $n$  that fall in each state, and the  $G_j$  are the matrices corresponding to transitions  $(\gamma_1, \gamma_2)$  such that  $|\gamma_1.\theta(v).\gamma_2| = 2|v| + j$ .

Multiplying the dimension by four, we can turn them into  $Y_{2n} = F_0 Y_n$ ,  $Y_{2n+1} = F_1 Y_n$  where

$$Y_n = \begin{pmatrix} X_{n-1} \\ X_n \\ X_{n+1} \\ X_{n+2} \end{pmatrix}, F_0 = \begin{pmatrix} G_1 & G_{-1} & 0 & 0 \\ G_2 & G_0 & G_{-2} & 0 \\ 0 & G_1 & G_{-1} & 0 \\ 0 & G_2 & G_0 & G_{-2} \end{pmatrix}, F_1 = \begin{pmatrix} G_2 & G_0 & G_{-2} & 0 \\ 0 & G_1 & G_{-1} & 0 \\ 0 & G_2 & G_0 & G_{-2} \\ 0 & 0 & G_1 & G_{-1} \end{pmatrix}.$$

□

Theorem 17 provides a fast algorithm for computing values of  $u_\alpha(n)$ :

**Corollary 18** *The number  $u_\alpha(n)$  of  $\alpha$ -power-free words of length  $n \geq 2^m$  can be obtained by first computing the binary expansion  $d_{k-1} \cdots d_0$  of  $n$ , i.e.,  $n = \sum_{j=0}^{k-1} d_j 2^j$ , with  $d_j \in \{0, 1\}$ ,  $d_{k-1} = 1$ , and then defining*

$$u_\alpha(n) = R F_{d_0} \cdots F_{d_{k-m-1}} Y_{n_0}$$

where  $n_0 = \sum_{j=0}^{m-1} d_{k-m+j} 2^j$ .

### 3.2 $r_\alpha^+$ and $r_\alpha^-$ as joint spectral quantities

Let  $r_\alpha^- = \liminf \frac{\log u_\alpha(n)}{\log n}$  and  $r_\alpha^+ = \limsup \frac{\log u_\alpha(n)}{\log n}$ .

In this section we prove that  $r_\alpha^+$  and  $r_\alpha^-$  are related to the joint spectral radius and the joint spectral subradius of the matrices  $F_0$  and  $F_1$ . This had already been proved in [8] for  $\alpha = 2^+$ , but this result came from a precise numerical analysis of the matrices, and could not be applied to an arbitrary pair  $\{F_0, F_1\}$ . Here we adopt a more abstract approach, based on the knowledge of the structure of the automaton.

Let  $|\cdot|$  denote some norm on  $\mathbb{R}^d$ , and  $\|\cdot\|$  some norm on  $\mathbb{R}^{d \times d}$ .

**Lemma 19** *With the notations of Theorem 17, if there is a sequence of vectors  $Y_{n_i}$ , for increasing  $n_i$  such that  $\lim_{i \rightarrow \infty} \log |Y_{n_i}| / \log n_i \geq c$ , then*

$$r_\alpha^+ \geq c.$$



**PROOF.** By construction, the sum of entries in  $Y_n$  is the total number of words of length  $n-1$ ,  $n$ ,  $n+1$  or  $n+2$  in  $AUA$ , that is  $4u(n-3) + 4u(n-2) + 4u(n-1) + 4u(n)$ , which is at most  $60u(n-3)$ , since  $u(n-3+k) \leq 2^k u(n-3)$ . As norms on  $\mathbb{R}^d$  are equivalent, there exist a positive constant  $K$  such that  $|Y_n| \leq Ku(n-3)$  for all  $n$ . If  $\lim_{i \rightarrow \infty} \log |Y_{n_i}| / \log n_i \geq c$ , this means that there is a subsequence  $(n'_i)$  of  $(n_i - 3)$  such that  $\lim_{i \rightarrow \infty} \log u(n'_i) / \log (n'_i) \geq c$ . Then  $r_\alpha^+ \geq c$ .  $\square$

**Theorem 20** *Let  $F_0, F_1$  be given by Theorem 17 Then,*

$$r_\alpha^+ = \log_2 \hat{\rho}(\{F_0, F_1\}).$$

$$r_\alpha^- \leq \log_2 \check{\rho}(\{F_0, F_1\}).$$

**PROOF.** First, it is clear that  $r_\alpha^+ \leq \hat{\rho}(\{F_0, F_1\})$  and  $r_\alpha^- \leq \check{\rho}(\{F_0, F_1\})$ . We have seen in Corollary 18 that  $u_\alpha(n)$  can be written as

$$u_\alpha(n) = RF_{d_0} \cdots F_{d_{k-m-1}} Y_{n_0}$$

with  $n_0 < 2^m$ . It follows that  $u_\alpha(n) = RY_n \leq |R| \|F_{d_0} \cdots F_{d_{k-m-1}}\| |Y_{n_0}| \leq K \|F_{d_0} \cdots F_{d_{k-m-1}}\|$ , where  $K$  is a real constant. So,

$$r_\alpha^- = \liminf \frac{\log u_\alpha(n)}{\log n} \leq \liminf \frac{\log_2 \|F_{d_1} \cdots F_{d_{k-4}}\|}{\log_2 n} = \log_2 \check{\rho}(\{F_0, F_1\})$$

and

$$r_\alpha^+ = \limsup \frac{\log u_\alpha(n)}{\log n} \leq \limsup \frac{\log_2 \|F_{d_1} \cdots F_{d_{k-4}}\|}{\log_2 n} = \log_2 \hat{\rho}(\{F_0, F_1\}).$$

We now prove the converse for the joint spectral radius. It is well known (see [7]) that there exists an infinite product  $\dots F_{d_2} F_{d_1}$  such that

$$\lim_{k \rightarrow \infty} \|F_{d_k} \dots F_{d_1}\|^{1/k} = \hat{\rho}.$$

So, there is an index  $j$  such that

$$\limsup_{k \rightarrow \infty} |F_{d_k} \dots F_{d_1} e_j|^{1/k} = \hat{\rho},$$

where  $e_j$  is the  $j$ th vector of the canonical basis. Moreover it is clear from the construction of  $\mathcal{B}_\alpha$  that for any index  $j$ , there is an  $h$  such that the vector  $Y_h$  has the  $j$ th entry larger than zero. Defining  $n_i = 2^k h + d_1 2^{k-1} + d_2 2^{k-2} + \dots + d_{k-1} 2 + d_k$ , so that  $Y_{n_i} = F_{d_k} \dots F_{d_1} Y_h$ , we have that

$$\limsup_{n_i \rightarrow \infty} |Y_{n_i}|^{1/k} = \hat{\rho},$$

and taking logarithms we can apply Lemma 19 to conclude that  $r_\alpha^+ \geq \log_2 \hat{\rho}(\{F_0, F_1\})$ .

□

The joint spectral radius and subradius have been the subject of intense research during the last decade, and, even if they are notoriously difficult to compute, accurate techniques exist to estimate their value. See [7] for a survey. In the next section we apply some of these techniques to find good estimates in the case  $\alpha = 7/3$ .

## 4 The particular case $\alpha = 7/3$

### 4.1 The automata

In the particular case of  $\alpha = 7/3$ , we get an automaton  $\mathcal{A}_{7/3}$  with 13 states:  $(aaba, -)$ ,  $(aabb, -)$ ,  $(aba, -)$ ,  $(abb, -)$ ,  $(aaba, 0)$ ,  $(aba, 0)$ ,  $(abb, 0)$ ,  $(aaba, 1)$ ,  $(aabb, 1)$ ,  $(aba, 1)$ ,  $(aaa, 2)$ ,  $(aba, 2)$ ,  $(abb, 2)$ .

The automaton  $\mathcal{B}_{7/3}$  has 141 states, among which 10 are accepting. Four states are transient and can be ignored for asymptotic study, so we get incidence matrices of dimension 137.

### 4.2 Numerical analysis

Theorem 17 provides a matrix expression for  $u_{7/3}(n)$ , involving two matrices  $F_0$  and  $F_1$  of dimension 548. In this section we briefly describe the result of numerical analysis of this pair of matrices. Figure 1 represents the evolution of (a)  $u_{7/3}(n)$  and (b,c)  $(1 + \log u_{7/3}(n))/\log n$  for the first few  $n$ , where  $1/\log n$  has been added to accelerate convergence. The graph (b) seems to indicate convergence to 2, but zooming it (c) reveals that the exponent oscillates.

As for overlap-free words, one could wonder whether for asymptotic study, the dimension of the matrices can be reduced. It appears that there is a permutation of the coordinates that puts  $F_0$  and  $F_1$  under block triangular form. This means that there are several separate strongly connected components in the automaton. The largest connected component has dimension 227 and moreover, it is the only connected component whose submatrices have a norm larger than 2. Since we know that for any increasing sequence of natural numbers  $n$ ,  $u_{7/3}(n)$  grows superlinearly, then the asymptotics is completely ruled by this component.

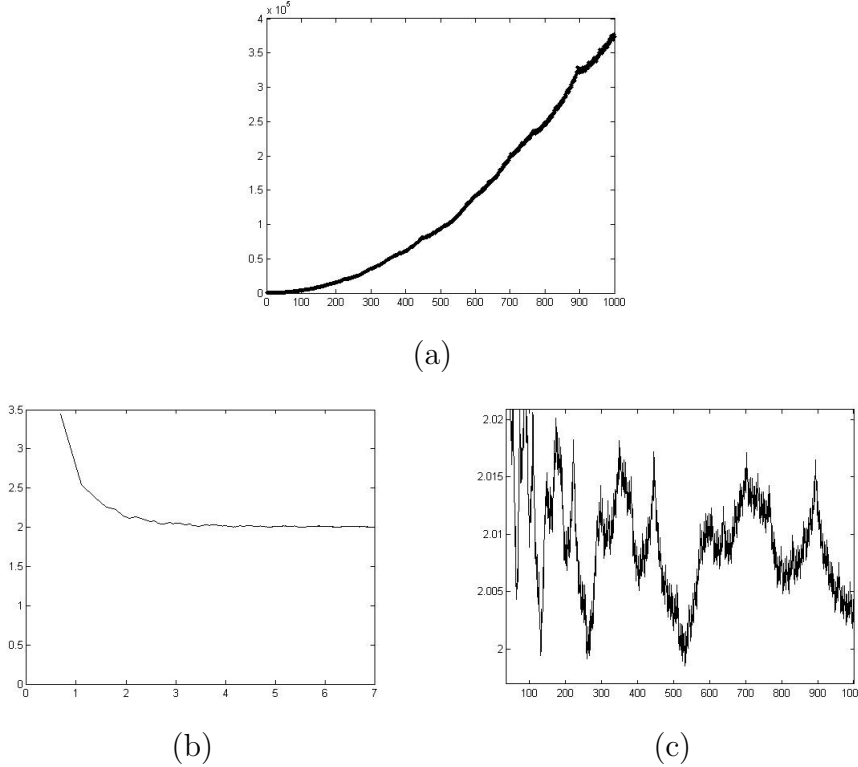


Fig. 1. (a) The values of  $u_{7/3}(n)$  for  $1 \leq n \leq 1000$ ; (b)  $(1 + \log u_{7/3}(n)) / \log n$  against  $\log n$ ; (c)  $(1 + \log u_{7/3}(n)) / \log n$  against  $n$ , zoomed around the apparent limit.

By analysing the joint spectral quantities of this component, we get:  $r_{7/3}^- < 2.0035 < 2.0121 < r_{7/3}^+ < 2.1050$ . We were not able to find a better lower bound for  $r_{7/3}^-$  than the bound for overlap-free words from [8],  $1.2690 < r_{2^+}^- \leq r_{7/3}^-$ . If we knew that  $r_{7/3}^- = \log_2 \check{\rho}(\{F_0, F_1\})$ , then standard techniques for approximating the joint spectral subradius would give  $1.8874 < r_{7/3}^-$ .

For the sum, we get  $\sum_{m < n} u_{7/3}(n) = \Theta(n^{r_{7/3}})$  with  $r_{7/3} = 2 \log_2 \rho(F_0 + F_1) \simeq 3.0053$ .

## 5 Conclusion and perspectives

In this paper we generalize recent results on overlap-free words to  $\alpha$ -power-free words for arbitrary rational  $\alpha \in (2, 7/3]$ . The generalization is far from being straightforward. As an example, it was known that for overlap-free words, the quantities  $r^+$  and  $r^-$  can be expressed in terms of joint spectral quantities of a set of matrices. However, the proof of this result involved a precise and numerical analysis of the matrices  $F_0$  and  $F_1$ , so that it was not clear at all that the result could be generalized for arbitrary  $\alpha$ . The construction proposed in this paper allows one to derive a proof for arbitrary  $\alpha$ , at least for  $r_\alpha^+$ ; we

only get an inequality for  $r_\alpha^-$ .

For asymptotic behaviour (that is, the quantities  $r_\alpha^+$  and  $r_\alpha^-$ ) it is possible to simplify the matrices. For instance, for overlap-free words it was possible to lower the dimension from  $30 \times 30$  to  $20 \times 20$ . For  $7/3$ -free words, it was possible to lower it from  $548 \times 548$  to  $227 \times 227$ . This large number for such a “simple” value for  $\alpha$  (the denominator is small) is a bit discouraging, and it seems that the number of states for the automaton grows very rapidly with the complexity of  $\alpha$ . This is the minimal dimensions that one can reach by applying permutations on the initial matrices. But we do not know whether it is possible to still decrease the dimension with more complex transformations. Also, is it possible to compute a priori the minimum number of states that one needs?

The asymptotic behaviour of the sum  $s_\alpha(n) = \sum_{m < n} u_\alpha(n)$  can be described precisely when  $\alpha \in (2, 7/3]$  is rational, as we can compute  $r_\alpha = \log_2 \rho(F_0 + f_1)$ . The next step is to study how this quantity depends on  $\alpha$ : is it strictly increasing? What are the discontinuities? How to express  $r_\alpha$  if  $\alpha$  is not rational? We expect a devil-staircase-like behaviour.

Clearly, these questions also have interest for the limits  $r_\alpha^-$  and  $r_\alpha^+$ . However, they seem much more difficult, as even for overlap-free words only approximations are known.

Also very challenging is to adapt this study to a ternary or larger alphabet. To do this, one has to find a replacement for the Thue-Morse morphism and a new structure lemma. It is not obvious that this is even possible: indeed it might be that  $RT'(k) = RT(k)$  for  $k \geq 3$  (where the threshold  $RT'(k)$ , introduced by Kobayashi [10], is such that the growth is polynomial when  $RT(k) < \alpha < RT'(k)$ , and not polynomial when  $\alpha > RT'(k)$ ; Lemma 1 states that  $RT'(2) = 7/3$ ) and there is no more polynomial growth. This is conjectured by Shur [16], and supported by some numerical evidence.

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