

# Separation and First-Order Logic

Thomas Place  
Joint work with Marc Zeitoun

LaBRI Université Bordeaux 1

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# Separation

What is it ?

Why should you try it ?

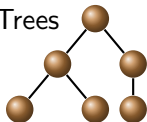
# Objects we consider

## Structure

Words

**ababcbaa**

Trees



## Descriptive Formalism

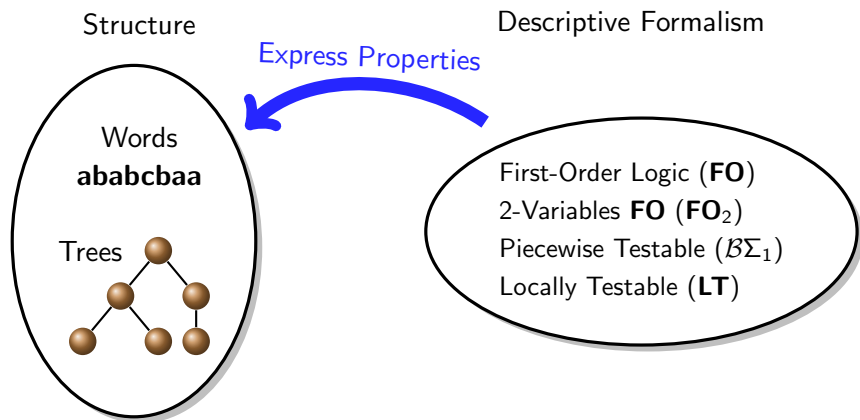
First-Order Logic (**FO**)

2-Variables **FO** (**FO<sub>2</sub>**)

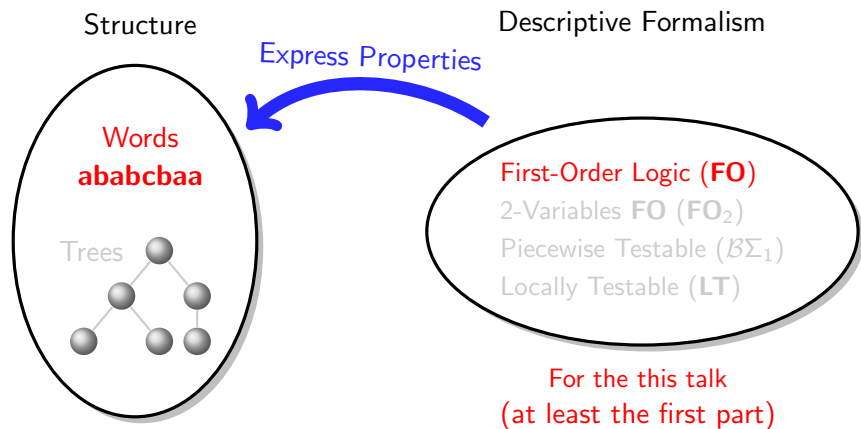
Piecewise Testable ( $\mathcal{B}\Sigma_1$ )

Locally Testable (**LT**)

# Objects we consider

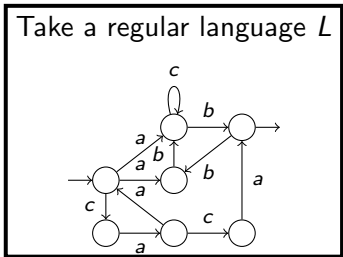


# Objects we consider



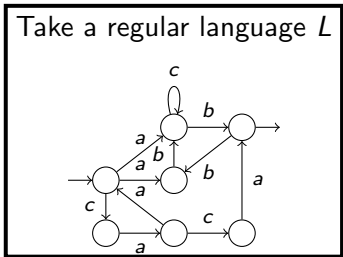
# A Reduced Problem: Decidable Characterizations

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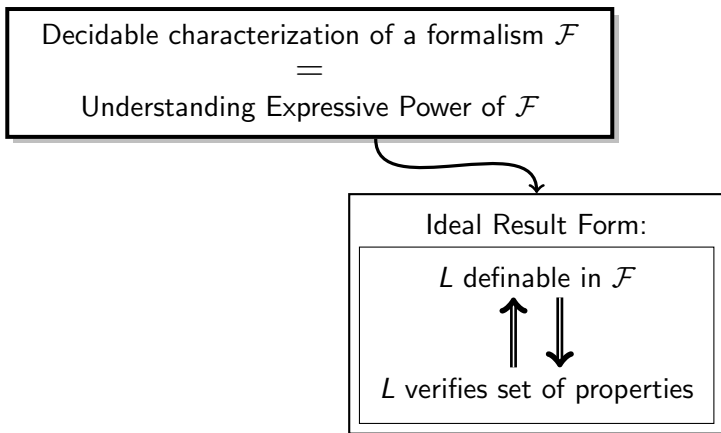
Can it be defined  
with a **FO** formula ?

# Why do we study these things ?

Decidable characterization of a formalism  $\mathcal{F}$   
=  
Understanding Expressive Power of  $\mathcal{F}$



# Why do we study these things ?

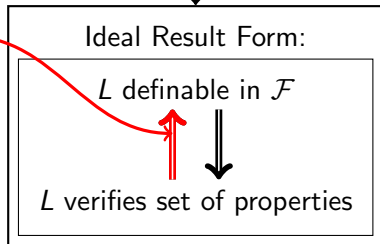


# Why do we study these things ?

Decidable characterization of a formalism  $\mathcal{F}$   
=  
Understanding Expressive Power of  $\mathcal{F}$

Proof = Construction of a Formula,  
Hypothesis = Simple Properties

⇒ Gives a standard way to write all formulas



# Why do we study these things ?

Decidable characterization of a formalism  $\mathcal{F}$

(Schützenberger'65, McNaughton and Papert'71):

$L$  a regular language, the following are equivalent:

- $L$  is **FO** definable.
- The syntactic monoid of  $L$  satisfies  $u^{\omega+1} = u^{\omega}$ .

$\Rightarrow$

ES

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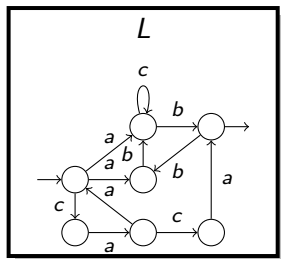
- $L$  is **FO** definable.
- The syntactic monoid of  $L$  satisfies  $u^{\omega+1} = u^{\omega}$ .

$\Rightarrow$

A counterexample that always  
happen when not definable.

es

# Why would we want more ?



If the characterization answer is yes:

- All we did in the characterization's proof apply.
- All subparts of the automata are actually definable definable in **FO** (provided it is minimal).

If the characterization's answer is no:

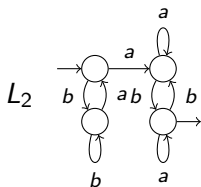
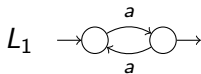
- We know very little.
- All we know: defining  $L$  requires differentiating between  $u^\omega$  and  $u^{\omega+1}$  at some point.

Maybe interesting things can be said even in that case.

# Here comes Separation

Decide the following problem:

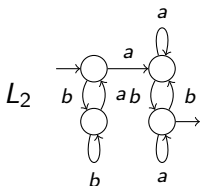
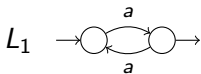
Take two regular languages  $L_1, L_2$



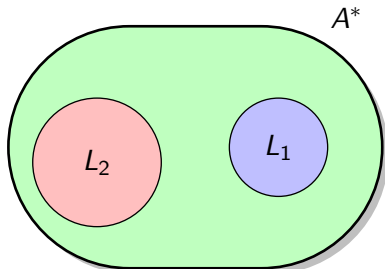
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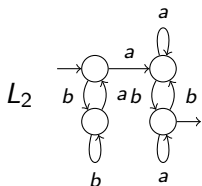
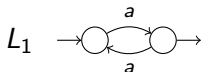
Can  $L_1$  be separated from  $L_2$  with a **FO** formula ?



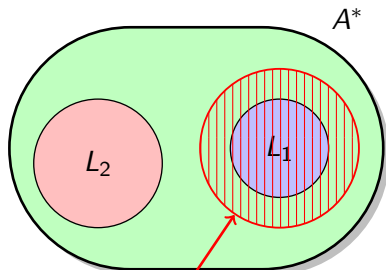
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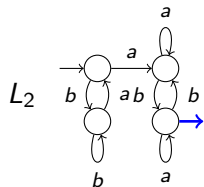
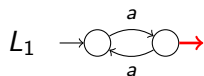
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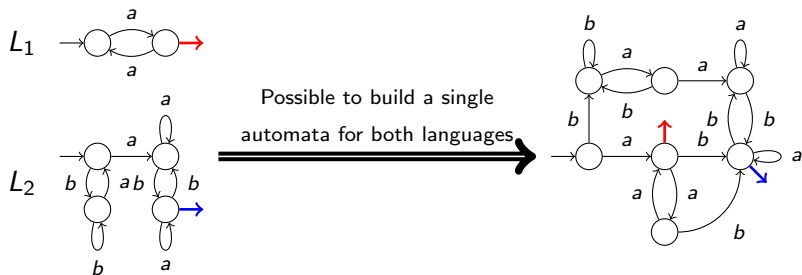
FO-definable



# A more General Problem than Characterization



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Problem is now:

What can FO say about this automata

# Advantages of Separation

- We need **FO** techniques that apply to all languages, not just the **FO** definable  $\Rightarrow$  More general and can be used in any context.

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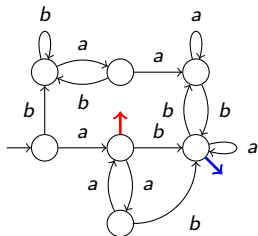
- We need **FO** techniques that apply to all languages, not just the **FO** definable  $\Rightarrow$  More general and can be used in any context.
- In the **FO** characterization,  $x^\omega = x^{\omega+1}$  is a specific counterexample that always happen. Here we need a way to describe all of them.
- Since techniques work for all languages, maybe they can then be reused to solve harder problems.

## Two Parts

- Part I: Separation with **FO**.
- Part II: Solving old open problems with Separation.

# First-Order Logic and Separation

# First-example



Goal: Separate **red language** from **blue language** with **FO**.

Question: What computable information is sufficient to solve that problem ?



# FO is hard, let's make it easy: Quantifier Rank

Quantifier rank of a formula: Nested depth of quantifiers.

$\forall x \exists y (a(x) \wedge \exists z (x < z < y \wedge b(y)))$  has quantifier rank 3

If  $k$  fixed: finitely many **FO** properties of rank  $k \Rightarrow$  Separation is easy (test them all)

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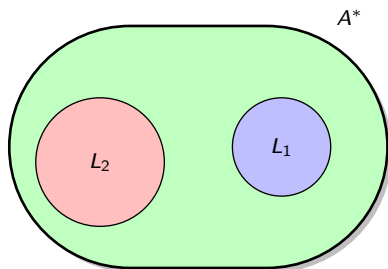
## $k$ -equivalence for **FO**

Let  $w_1, w_2$  be words:

$w_1 \cong_k w_2$  iff  $w_1, w_2$  satisfy the same formulas of rank  $k$

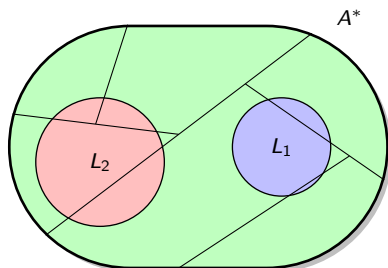
*All **FO** properties of rank  $k$  are unions of classes of  $\cong_k$ .*

# Fixed Quantifier Rank $k$



Let's add the  $\cong_k$ -classes

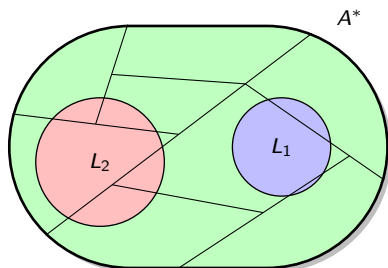
# Fixed Quantifier Rank $k$



Separable with rank  $k$  iff no  $\cong_k$ -class intersects both languages

For full **FO** we want to know if there exists a  $k$   
 $\Rightarrow$  Compute a 'limit' for  $\cong_k$ .

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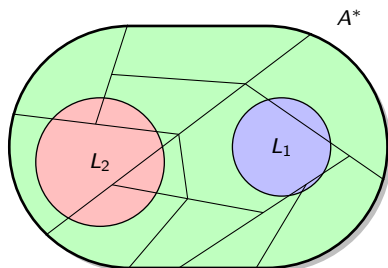


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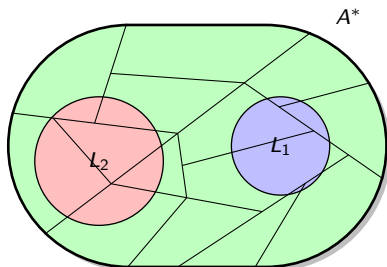


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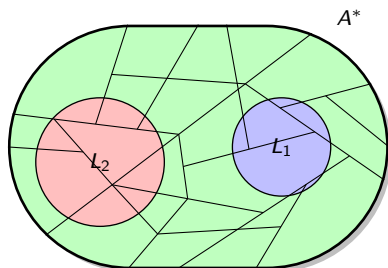


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# Fixed Quantifier Rank $k$

We have an Automata  $\mathcal{A}$

$\Rightarrow$  Idea: Abstract  $\cong_k$ , on the states of the automata

- $q_1 \cong_k q_2$  iff  $\exists w_1, w_2 \in A^*$  s.t.  $w_1 \cong_k w_2$  and 
$$\begin{array}{l} q_i \xrightarrow{w_1} q_1 \\ q_i \xrightarrow{w_2} q_2 \end{array}$$
- Separation condition for rank  $k$  now on the final states
- Finitely many pairs means there is a limit.
- $q_1 \cong q_2$  iff  $\forall k \ q_1 \cong_k q_2$ ,  $\Rightarrow$  We want to compute  $\cong$

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**Warning very bad notation (not transitive)**  
 $\Rightarrow$  (We will denote it as a set of pairs)
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- $(q_1, q_2) \in P(\mathcal{A})$  iff  $\forall k (q_1, q_2) \in P_k(\mathcal{A})$ ,  $\Rightarrow$  We want to compute  $P(\mathcal{A})$

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# The Separation Criterion

## Separation Criterion

$L_1, L_2$  recognized by  $\mathcal{A}$  are **not** iff there final states  $q_1, q_2$  for  $L_1, L_2$   
s.t.  $(q_1, q_2) \in P(\mathcal{A})$ .

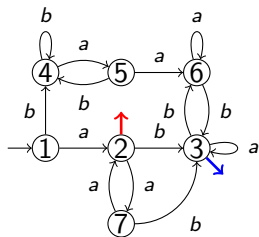
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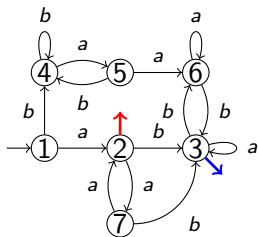
Computing  $P(\mathcal{A})$  suffices to solve separation by **FO**. However it gives much more.

## Back to our example



$$P(\mathcal{A}) = \{(1, 1), (2, 2), (3, 3), (4, 4), \\ (5, 5), (6, 6), (7, 7), (3, 6), (6, 3), (2, 7), (7, 2)\}$$

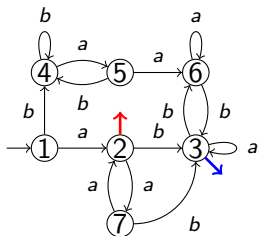
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"Everything" **FO** can express about  $\mathcal{A}$

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# Levels of Precision, what do we mean by everything ?

## Final States

- Automata  $\mathcal{A}$ .
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## Initial and Final States

- Automata  $\mathcal{A}$ .
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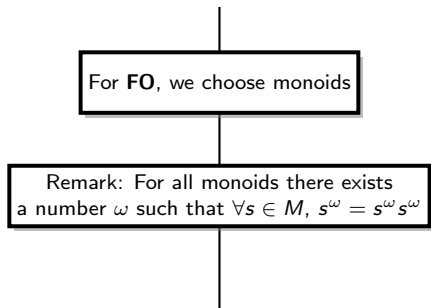
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## Monoids

- Morphism  $\alpha : A^* \rightarrow M$ .
- $(s_1, s_2) \in P_k(M)$  iff  
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# Two approaches

We want to compute the relation  $P_k$ , there are two approaches:

## Brute-force:

- When  $k$  fixed computing  $P_k(M)$  is easy.
- $P(M) = P_k(M)$  for some fixed  $k$  depending on  $M$ .
- $\Rightarrow$  Prove a bound  $k = f(M)$  and compute  $P_k$ .

## Algorithm:

Find an algorithm that bypasses the bound  $k$  and computes  $P$  directly.

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We choose approach 2.

# A first (non complete) Algorithm

We have  $\alpha : A^* \rightarrow M$  and want to compute  $P(M)$ . Idea : Start with trivial pairs and add more pairs via a fixpoint algorithm.

Property of **FO**  
 $\forall k \forall w \in A^* w \cong_k w$

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- Trivial pairs: for all  $w \in A^*$   $(\alpha(w), \alpha(w)) \in P(M)$
- Operation:  $(s_1, s_2) \in P(M)$  and  $(t_1, t_2) \in P(M) \Rightarrow (s_1 t_1, s_2 t_2) \in P(M)$

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Property of **FO**

$$\forall k \exists n \forall w_1, w_2 \in A^* w_1 \cong_k w_2 \Rightarrow (w_1)^n \cong_k (w_2)^{n+1}$$

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We have  $\alpha : A^* \rightarrow M$  and want to compute  $P(M)$ . Idea : Start with trivial pairs and add more pairs via a fixpoint algorithm.

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Correct by definition but not complete  
We now explain why

# Why it does not work

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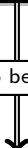
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# Why it does not work

Not general enough



Property of **FO**  
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Needs to be replaced



$\forall k \forall w_1, \dots, w_m \in A^*, w_1 \cong_k w_2 \cdots \cong_k w_m$   
 $\Downarrow$   
All large concatenations of words in  $\{w_1, \dots, w_m\}$  are  $\cong_k$ -equivalent.

# From Pairs to Sets

For using this more general property, pairs are not general enough  $\Rightarrow$  Use sets.

For all  $k$ , we set  $\mathcal{S}_k(M) \subseteq 2^M$  the set s.t.:

$$\{s_1, s_2, s_3\} \in \mathcal{S}_k \text{ iff } \exists w_1, w_2, w_3 \in A^* \text{ s.t. } w_1 \cong_k w_2 \cong_k w_3 \text{ and } \begin{array}{l} \alpha(w_1) = s_1 \\ \alpha(w_2) = s_2 \\ \alpha(w_3) = s_3 \end{array}$$

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We want to compute the set  $\mathcal{S}(M) \subseteq 2^M$  such that:

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## Remark

$2^M$  is still a monoid for the operation  $S_1 \cdot S_2 = \{s_1 s_2 \mid s_1 \in S_1, s_2 \in S_2\}$ .

# A new (working) Algorithm

We have  $\alpha : A^* \rightarrow M$  and want to compute  $\mathcal{S}(M)$ . Idea : Start with trivial pairs and add more pairs via a fixpoint algorithm.

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Correct by definition  
Can be proved to be complete



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The algorithm reflects the equation  $x^\omega = x^{\omega+1}$  in the well-known **FO** characterization. There are other ways to state this characterization, can the algorithm be modified to reflect them too ?

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This also works

## Questions that remain

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- ③ All of this is very nice but what if I want to actually compute an **FO** separator (and finish within my lifespan)?  
⇒ You can, but you will still have to be patient...

# Completeness



# Completeness: What we need to prove

## Reminder

$\mathcal{S}(M) = \bigcap_{k \in \mathbb{N}} \mathcal{S}_k(M)$ . In particular, for all  $k$ ,  $\mathcal{S}(M) \subseteq \mathcal{S}_k(M)$ .

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## What we prove

For  $k = |M|(2^{|M|})!$ , the algorithm computes  $\mathcal{S}_k(M)$ .  $\Rightarrow$  In particular, we get the bound of the brute-force approach for free.

How do we proceed.

To every  $w \in A^*$ , one can associate  $Gen_k(w) \in \mathcal{S}_k$ :

$$Gen_k(w) = \{s \in M \mid \exists w' \cong_k w \text{ s.t. } \alpha(w') = s\}$$

We prove that for all  $w \in A^*$ ,  $Gen_k(w)$  is computed by the algorithm.

$\Rightarrow$  We start with a  $w \in A^*$ , we need a way to decompose it in a way that respects the operations of our algorithm.

# Wilke Proof of the **FO** characterization

We have  $\alpha : A^* \rightarrow M$  with  $M$  satisfying  $x^\omega = x^{\omega+1}$ .  
Let  $w \in A^*$ , how does **FO** proceeds to detect  $\alpha(w)$  ?

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$w = \dots\dots\dots$

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- For all  $a \in A$ ,  $\alpha(a)M = M$   
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In that Case:

$$x^\omega = x^{\omega+1} \Rightarrow M = \{1_M\}$$

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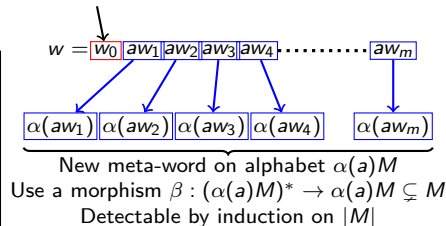
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# Wilke Proof of the FO characterization

We have  $\alpha : A^* \rightarrow M$  with  $M$  satisfying  $x^\omega = x^{\omega+1}$ .

For separation this proof has both a big advantage and a big disadvantage

Disadvantage:

Advantage:

- For all  $A$  and  $M$

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Disadvantage: Induction use  $|M|$  as a parameter.

Advantage:

• For all  $a \in A$  and  $M \models \alpha(a)M$

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Disadvantage: Induction use  $|M|$  as a parameter.

Advantage: Aperiodicity only used in the base case: not needed for induction.

- For all  $a \in A$  and  $M \subseteq M$

- There exists  $\alpha(a)M$

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## Let's summarize what we have

- 1 An algorithm for computing  $S(M)$ . Therefore, we can answer *yes* or *n* to the separation problem for **FO**.
- 2 A bound on the size of the separator: it is possible to compute a separator (in a very non-efficient way).

Question: Can Item 2 be done in a better way ?

## Answer is Yes: Computing a Separator

Assume  $\mathcal{S}(M) = \{S_1, \dots, S_n\}$ . By reversing the completeness proof, it is possible to compute  $n$  **FO** formulas  $\varphi_1, \dots, \varphi_n$  of rank  $k = |M|(2^{|M|})!$  such that:

- The associated languages are converging:  
 $\{w \mid w \models \varphi_1 \vee \dots \vee \models \varphi_n\} = A^*$ .
- For all  $i$ ,  $w \models \varphi_i \Rightarrow \alpha(w_i) \in S_i$ .
- The computation is inductive and elementary.

$\Rightarrow$  All information that can be expressed with **FO** as stated in  $\mathcal{S}(M)$  is a union of these formulas.

# Conclusion of Part I

We have the following results:

- Separation by **FO** is decidable (in EXPTIME).
- Computing an actual separator formula can be done in an elementary way (but still with high complexity).
- Results can be (easily) generalized to infinite words.

# Separation and the Quantifier Alternation Hierarchy

# Separation on Words: State of the Art

Most well-known classes are solved:

- Piecewise Testable Languages ( $\mathcal{B}\Sigma_1(<)$ ). [Czerwinski, Martens, and Masopust] and independently [P., Rooijen and Zeitoun] (2013).
- Two-variables First-Order Logic ( $\text{FO}^2(<)$ ). [P., Rooijen and Zeitoun] (2013).
- Locally Testable languages (**LT**). [P., Rooijen and Zeitoun] (2013).
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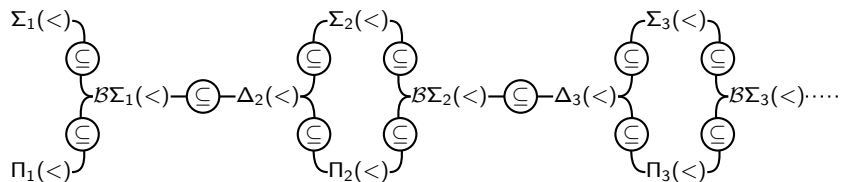
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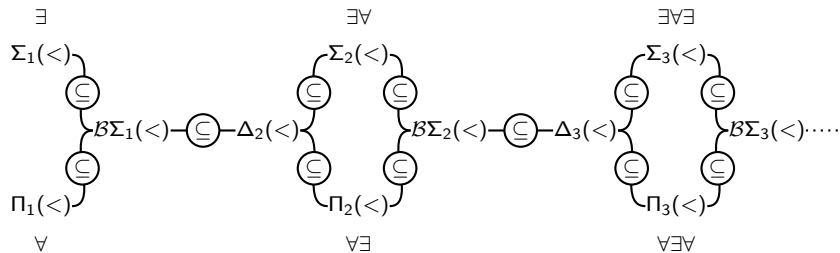
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One class was left for which characterization was known while nothing was known on separation:  $\Sigma_2(<)$ .

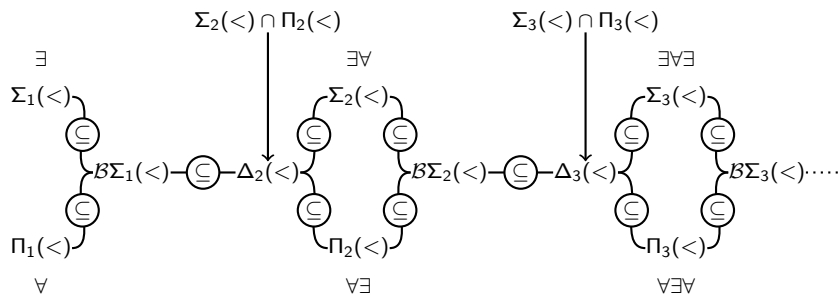
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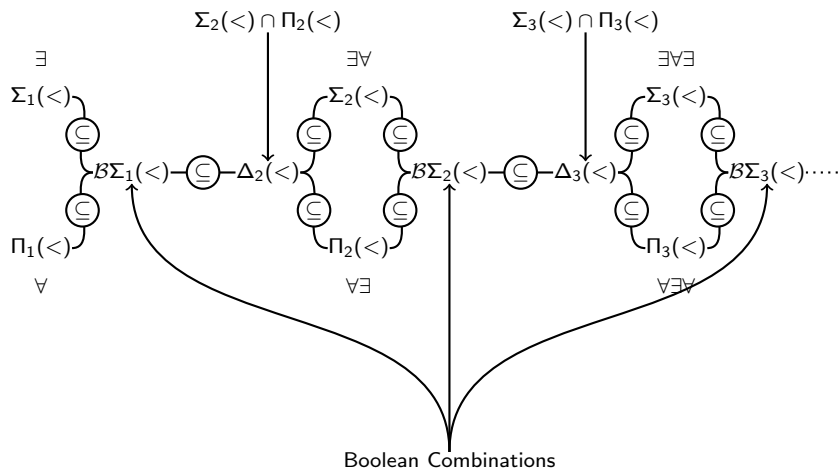
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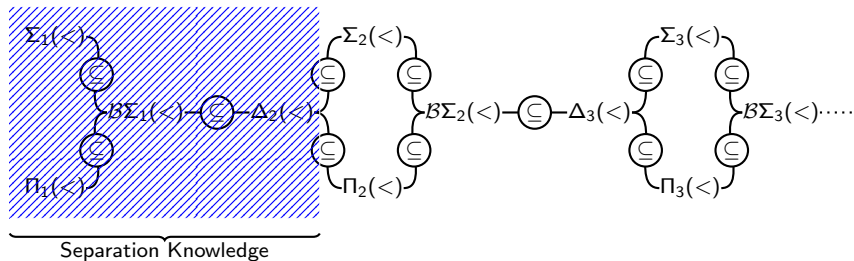
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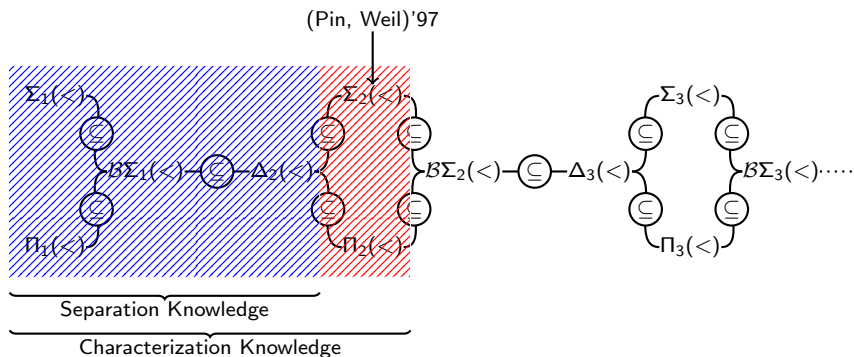
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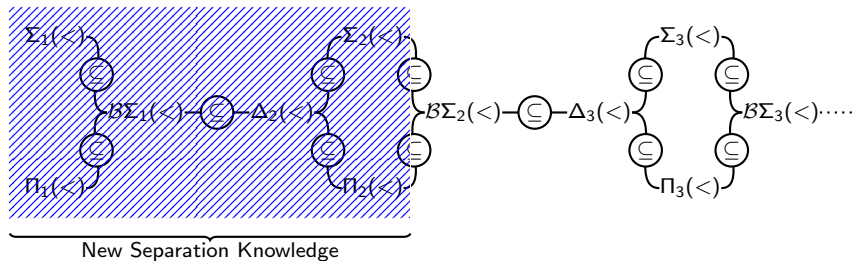


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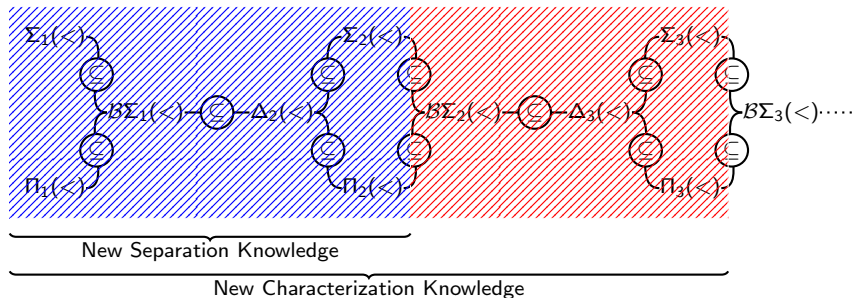
$\Sigma_2(<)$  and  $\Pi_2(<)$  were open for separation

# FO Quantifier Alternation Hierarchy





# FO Quantifier Alternation Hierarchy



Using the separation solution for  $\Sigma_2(\langle \rangle)$  and  $\Pi_2(\langle \rangle)$ , one can prove decidable characterizations for  $\mathcal{B}\Sigma_2(\langle \rangle), \Delta_3(\langle \rangle), \Sigma_3(\langle \rangle)$  and  $\Pi_3(\langle \rangle)$ .

# Three Main Results

- 1 Separation by  $\Sigma_2(<)$ .
- 2 Characterization for  $\Sigma_3(<)$ .
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# Separation and $\Sigma_2(<)$ , what we compute

A  $\Sigma_2(<)$  formula is this:

$$\exists x_1 \cdots \exists x_n \forall y_1 \cdots \forall y_m \varphi(x_1, \dots, x_n, y_1, \dots, y_m)$$

Quantifier rank still applies, here rank is  $n + m$ .  $\Sigma_2(<)$  not closed under complement  $\Rightarrow$  no  $k$ -equivalence, a  $k$ -preorder.

## $k$ -preorder for $\Sigma_2(<)$

Let  $w_1, w_2$  be words:

$$w_1 \lesssim_k^2 w_2 \text{ iff for any } \Sigma_2(<) \text{ formula } \Psi \text{ rank } k, (w_1 \models \Psi \Rightarrow w_2 \models \Psi)$$

$L$  is  $\Sigma_2(<)$  definable with rank  $k$  iff  $L = \{w \mid \exists w' \in L \text{ s.t. } w' \lesssim_k^2 w\}$

## Separation and $\Sigma_2(<)$ , what we compute (2)

We have a monoid morphism  $\alpha : A^* \rightarrow M$ , for all  $k \in \mathbb{N}$  set

$$\mathcal{C}_k^2(M) = \{(s_1, s_2) \mid \exists w_1, w_2 \in A^* \text{ s.t. } w_1 \lesssim_k^2 w_2 \text{ and } \begin{array}{l} \alpha(w_1) = s_1 \\ \alpha(w_2) = s_2 \end{array} \}$$

What we want to compute (and can compute) is

$$\mathcal{C}^2(M) = \{(s_1, s_2) \mid \forall k (s_1, s_2) \in \mathcal{C}_k^2(M)\}$$

This solves separation:

### Separation Solution

$L_1, L_2$  recognized by  $M$ .  $L_1$  is *not* separable from  $L_2$  iff there exists  $(s_1, s_2) \in \mathcal{C}^2(M)$  such that  $s_1 \in \alpha^{-1}(L_1)$  and  $s_2 \in \alpha^{-1}(L_2)$ .

## Separation and $\Sigma_2(<)$ , what we compute (2)

We have a monoid morphism  $\alpha : A^* \rightarrow M$ , for all  $k \in \mathbb{N}$  set

$$\mathcal{C}_k^2(M) = \{(s_1, s_2) \mid \exists w_1, w_2 \in A^* \text{ s.t. } w_1 \lesssim_k^2 w_2 \text{ and } \left. \begin{array}{l} \alpha(w_1) = s_1 \\ \alpha(w_2) = s_2 \end{array} \right\}$$

What we want to compute (and can compute) is

$$\mathcal{C}^2(M) = \{(s_1, s_2) \mid \forall k (s_1, s_2) \in \mathcal{C}_k^2(M)\}$$

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However, computing  $\mathcal{C}^2(M)$  gives much more.



A Decidable Characterization  
for  $\Sigma_3(<)$ .

## Deriving a characterization for $\Sigma_3(<)$ .

### Theorem

Let  $L$  be a regular language and  $\alpha : A^* \rightarrow M$  be its syntactic morphism.  $L$  is definable in  $\Sigma_3(<)$  iff  $\alpha$  satisfies:

$$s^\omega \leq s^\omega t s^\omega \quad \text{for } (t, s) \in \mathcal{C}^2$$

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What does  $\leq$  means ? The syntactic monoid comes from Myhill-Nerode Equivalence:

$$w \equiv w' \text{ iff } \forall u, v \quad uwv \in L \Leftrightarrow uw'v \in L$$

The preorder  $\leq$  comes from a Myhill-Nerode preorder:

$$w \leq w' \text{ iff } \forall u, v \quad uwv \in L \Rightarrow uw'v \in L$$

What of  $\mathcal{B}\Sigma_2(<)$ ?

# A (non-effective) Separation Criterion for $\mathcal{B}\Sigma_2(<)$

We defined  $\mathcal{C}(M)$  as pairs, we can be more general. For all  $k \in \mathbb{N}$  we  $\mathcal{C}_k^2(M) \subseteq M^*$  such that:

$$(s_1, \dots, s_n) \in \mathcal{C}_k^2(M) \text{ iff } \exists w_1, \dots, w_n \in A^* \text{ s.t. } w_1 \lesssim_k^2 \dots \lesssim_k^2 w_n \text{ and } \begin{array}{l} \alpha(w_1) = s_1 \\ \vdots \\ \alpha(w_n) = s_n \end{array}$$

We set

$$\mathcal{C}^2(M) = \bigcap_{k \in \mathbb{N}} \mathcal{C}_k(M)$$

## Fun Fact

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$L_1, L_2$  recognized by  $M$  are **not**  $\mathcal{B}\Sigma_2(<)$ -separable iff there exists  $s_1 \in \alpha^{-1}(L_1)$  and  $s_2 \in \alpha^{-1}(L_2)$  such that  $(s_1 s_2)^* \subseteq \mathcal{C}^2(M)$ .

# A (non-effective) Separation Criterion for $\mathcal{B}\Sigma_2(<)$

Deciding separation for  $\mathcal{B}\Sigma_2(<)$  requires computing  $\mathcal{C}^2(M)$ .

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- What if we only want a decidable characterization ?

# Deriving a characterization for $\mathcal{BS}\Sigma_2(<)$ . (half of it)

## Theorem

Let  $L$  be a regular language and  $\alpha : A^* \rightarrow M$  be its syntactic morphism.  $L$  is definable in  $\mathcal{BS}\Sigma_2(<)$  iff  $\alpha$  satisfies the two following equations:

$$\begin{array}{l} s_1^\omega s_3^\omega = s_1^\omega s_2 s_3^\omega \\ s_3^\omega s_1^\omega = s_3^\omega s_2 s_1^\omega \end{array} \quad \text{for } (s_1, s_2, s_3) \in \mathcal{C}^2(M)$$

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It suffices to compute words of length 2 and 3 in  $\mathcal{C}^2(M)$  which we can do.  $\Rightarrow$  the characterization is decidable.

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## Fun Fact

The first equation generalizes the  $\mathcal{BS}\Sigma_1(<)$  characterization in a nice way.

# Conclusion

We have the following results:

- Separation for  $\text{FO}(<)$ .
- Separation for  $\Sigma_2(<)$ .
- Decidable Characterization for  $\mathcal{B}\Sigma_2(<)$ .
- Decidable Characterizations for  $\Sigma_3(<)$ ,  $\Pi_3(<)$  and  $\Delta_3(<)$ .

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What is left:

- Separation for  $\mathcal{B}\Sigma_2(<)$ .
- Going Higher in the Hierarchy: Separation for  $\Sigma_3(<)$ .
- Trees.

Thank You