A New Linearizing Restriction in the Pattern Matching Problem*

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Abstract. In the pattern matching problem, there can be a quadratic number of matching substrings in the size of a given text. The linearizing restriction finds, at most, a linear number of matching substrings. We first explore two well-known linearizing restriction rules, the *longest-match* rule and the *shortest-match substring search* rule, and show that both rules give the same result when a pattern is an infix-free set even though they have different semantics. Then, we introduce a new linearizing restriction, the *leftmost non-overlapping match* rule that is suitable for find-and-replace operations in text searching, and propose an efficient algorithm when the pattern is a regular language according to the new match rule.

Keywords: Automata and formal languages, design and analysis of algorithms, string pattern matching.

1 Introduction

Regular expressions are popular in many applications such as editors, programming languages and software systems in general. People often use regular expressions for searching in text editors or for UNIX command; for example, `vi`, `emacs` and `grep`. There are two types of questions in the pattern matching that one can ask. The first is the recognition problem: Does a string in a given text match a particular pattern? The second is the searching problem: Identify all matching substrings of a given text with respect to a particular pattern. Since a pattern is a language, regular expressions are often used to represent patterns for the pattern matching problem. If a given pattern is a single string, then we have the string matching problem [3,8]. If a given pattern is a finite language, then we have the multiple keyword matching problem [2]. If a pattern is given as a regular expression, then the first problem is the regular language membership problem and the second problem is the regular-expression matching problem.

Given a text T and a pattern L, we define a substring s of T to be a matching substring with respect to L if $s \in L$. Many researchers have investigated

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the various regular-expression matching problems. Thompson [11] presented the first regular expression matching algorithm for his UNIX editor, `ed`. Aho [1] suggested an algorithm to determine whether or not T has a matching substring with respect to a given regular expression pattern E in $O(mn)$ time using $O(m)$ space, where m is the size of E and n is the size of T. Crochemore and Hancart [5] extended this result to find all end positions of matching substrings of T with the same runtime and space complexity of Aho [1]. The algorithm is a modified version of the algorithm of Aho [1] and both algorithms are based on the Thompson automata [11].

It is, in applications such as `grep`, sufficient to obtain the end positions of matching substrings to output lines that contain the matched substrings. However, we often need to find both the start positions and the end positions of matching substrings to replace or delete the matched strings. Myers et al. [10] solved the problem of identifying start positions and end positions of matching substrings of T with respect to E in $O(mn \log n)$ time using $O(m \log n)$ space. Recently, Han et al. [6] proposed another algorithm that runs in $O(mn^2)$ time using $O(m)$ space based on the algorithm of Crochemore and Hancart [5].

Given a regular expression pattern E and a text T, there can be at most n^2 matching substrings in T with respect to E in the worst-case. For example, $E = (a + b)^*$ and $T = abbaabaaba \cdots baba$ over the alphabet $\{a, b\}$. These matching substrings often overlap and nest with each other. To avoid this situation, researchers restrict the search to find and report only a linear subset of the matching substrings. There are two well-known *linearizing restrictions*: The *longest match* rule, which is a generalization of the leftmost longest match rule of IEEE POSIX [7] and the *shortest-match substring search* rule of Clarke and Cormack [4]. These two rules have different semantics and, therefore, identify different matching substrings in general for same E and T.

In Section 2, we define some basic notions. We revisit two linearizing restrictions in the literature and examine the relationship between them in Section 3. We observe that the two rules allow overlapping strings, which is not suitable for some applications, and we propose a new linearizing restriction, the *leftmost non-overlapping match* rule in Section 4. The new rule does not allow overlapping strings and guarantees a linear number of matching substrings. We demonstrate that the new rule is suitable for find-and-replace operations in text searching. Then, we apply the rule to the regular-expression matching problem and develop an algorithm for the problem in Section 5. The algorithm is based on the Thompson automata [11] and it is easy to implement as similar algorithms [1,5].

2 Preliminaries

Let Σ denote a finite alphabet of characters and Σ^* denote the set of all strings over Σ. A language over Σ is any subset of Σ^*. The character $\emptyset$ denotes the empty language and the character λ denotes the null string. Given two strings x and y over Σ, x is a *prefix* of y if there exists $z \in \Sigma^*$ such that $xz = y$ and x is a *suffix* of y if there exists $z \in \Sigma^*$ such that $zx = y$. Furthermore, x is

said to be a *substring* or an *infix* of y if there are two strings u and v such that $uxv = y$. Given a string $x = x_1 \cdots x_n$, $|x|$ is the number of characters in x and $x(i, j) = x_i x_{i+1} \cdots x_j$ is the substring of x from position i to position j, where $i \leq j$. Given a set X of strings over Σ, X is *infix-free* if no string in X is an infix of any other string in X. Given a string x, let x^R be the reversal of x, in which case $X^R = \{x^R \mid x \in X\}$. We define a (regular) language L to be infix-free if L is an infix-free set. A regular expression E is infix-free if $L(E)$ is infix-free. We can define prefix-free and suffix-free regular expressions and languages in a similar way.

A finite-state automaton A is specified by a tuple $(Q, \Sigma, \delta, s, F)$, where Q is a finite set of states, Σ is an input alphabet, $\delta \subseteq Q \times \Sigma \times Q$ is a (finite) set of transitions, $s \in Q$ is the start state and $F \subseteq Q$ is a set of final states. Let $|Q|$ be the number of states in Q and $|\delta|$ be the number of transitions in δ. Then, the size of A is $|A| = |Q| + |\delta|$.

A string x over Σ is accepted by A if there is a labeled path from s to a final state in F that spells out x. Thus, the language $L(A)$ of a finite-state automaton A is the set of all strings spelled out by paths from s to a final state in F. We assume that A has only *useful* states; that is, each state appears on some path from the start state to some final state.

A pattern is essentially a language. Given a pattern L and a text T, we define a string x to be a *matching substring* of T with respect to L if x is a substring of T and $x \in L$. The pattern matching problem is to identify all matching substrings of T with respect to a given pattern L. If L is represented by a regular expression E, then we obtain the regular-expression matching problem. If E is prefix-free, then we obtain the prefix-free regular-expression matching problem. The size $|E|$ of a regular expression E is the total number of character appearances in E.

3 Linearizing Restrictions

In the pattern matching problem for a text T, matching substrings of T often overlap with or nest with other matching substrings. Moreover, in the worst-case, there are a quadratic number of matching substrings of T. To avoid these situations, researchers have designed methods to find a linear subset of the matching substrings while preserving specified properties for each matching string. We call such methods *linearizing restrictions*. There are two well-known linearizing restrictions in the matching problem.

3.1 Longest-Match Rule

The *leftmost longest match* rule is defined in the IEEE POSIX Standard [7] as follows:

> *"The search is performed as if all possible suffixes of the string were tested for a prefix matching the pattern; the longest suffix containing a matching prefix is chosen, and the longest possible matching prefix of the chosen suffix is identified as the matching sequence."*

The rule reports the matching substring whose start position is leftmost and if there are several matching substrings with such a start position, then the longest string is identified. Since it is simple and easy to implement, the rule has been adopted in many tools such as `regex`, `perl` and `tcl/tk`. Note that the rule reports at most one matching string.

The *longest-match* rule is a generalization of the rule of IEEE POSIX [7] that performs a general search instead of identifying a single match string. The longest-match rule is defined as follows: Given a text T and a pattern L, we search for the longest matching prefix with respect to L from position i in T, for $1 \leq i \leq n$, where n is the size of T. Since there can be at most one longest matching prefix from each position, there are at most n matching substrings; thus, the longest-match rule guarantees a linear number of matching strings in the size of T.

Assume that we use the longest-match rule for the regular-expression matching problem. Given a regular expression E and a string w, we can find the longest prefix of w that belongs to $L(E)$ in $O(mn)$ time using $O(m)$ space based on the algorithm of Aho [1], where m is the size of E and n is the size of w. Now we search for the longest prefix from each position in T with respect to $L(E)$ and it takes $O(m|s_1|)+O(m|s_2|)+\cdots+O(m|s_n|)$ time, where $s_1, s_2, \ldots, s_n$ are suffixes of T. Since $|s_1| + |s_2| + \cdots + |s_n| = O(n^2)$, where n is the size of T, the total complexity of the regular-expression matching problem using the longest-match rule is $O(mn^2)$ time and $O(m)$ space. Note that we can improve this running time by using the algorithm of Myers [9] with additional space.

3.2 Shortest-Match Substring Search Rule

Clarke and Cormack [4] proposed a different linearizing restriction, the *shortest-match substring search*:

> *"Locate the set of shortest nonnested (but possible overlapping) strings that each match the pattern."*

We can rephrase the rule as follows: Given a text T and a pattern L, identify all matching substrings of T with respect to L such that each matching substring is not an infix of any other matching substrings; thus, the resulting set of matching substrings by this rule is an infix-free set. They demonstrated that the shortest-match substring search rule is appropriate for searching structured text such as SGML and XML.

Clarke and Cormack [4] showed that there are at most linear number of matching substrings in the size of T. Furthermore, they considered the case when a pattern is a regular language described by a finite-state automaton A. Let k be the maximum number of out-transitions from a state in A, m be the number of states in A and n be the size of a given text T. They proposed an $O(kmn)$ worst-case running time algorithm using $O(m)$ space. If we use the Thompson automata [11], which are often used in the regular-expression matching problem, then the running time is $O(mn)$ since k is at most 2 in the Thompson automata. Although the rule is simple and straightforward, the idea of this linearizing restriction is shown to be very useful in various cases.

3.3 Comparison of Two Linearizing Restrictions

Both the longest-match rule and the shortest-match substring search rule ensure that the number of matching substrings is linear in the size of T. However, the two rules have different semantics and, therefore, give different results for the same text and the same pattern. For example, if $T = abc$ and the pattern $L = \{a, abc\}$, then the longest-match rule outputs abc whereas the shortest-match substring search rule outputs a. Notice that both rules determine what to report for given an arbitrary text T and an arbitrary pattern L; namely, there are no restrictions on the pattern and on the text. On the other hand, Han et al. [6] showed that, if L is prefix-free, then there can be at most n matching substrings of T because of the prefix-freeness of L. From this work, we obtain:

Corollary 1. *If L is prefix-free or suffix-free, then there are at most n matching substrings of T with respect to L, where n is the size of a given text T.*

Corollary 1 demonstrates that we can apply the linearizing restriction for patterns to obtain a linear number of matching substrings. Then, one question is that whether we can compromise the semantic difference between the longest-match rule and the shortest-match substring search rule by applying the linearizing restriction on patterns.

Theorem 1. *Given a pattern L and a text T, if L is infix-free, then the longest-match rule and the shortest-match substring search rule give the same result. However, the converse does not hold.*

Proof. Assume that a set $S = \{s_1, \ldots, s_k\}$ is the set of matching substrings of T with respect to L, where k is the number of the matching substrings. Let n be the size of T. Since L is infix-free, there are at most n matching substrings; namely, $k \leq n$ [6]. By the definition of matching substrings, $s_i \in S$, for $1 \leq i \leq k$, must belong to L; it implies that S is a subset of L and, therefore, S is also infix-free. Thus, S is the output of the shortest-match substring search rule. Note that all strings in S start from different positions in T. (If any two strings s_i and s_j, for $1 \leq i \neq j \leq k$, start from the same position, then the shorter string must be a prefix of the longer string — a contradiction.) Since each string in S starts from different position, all strings in S are identified as matching substrings by the longest-match rule. Therefore, S is the output of both rules.

We demonstrate that the converse does not hold with the following counter example; $T = ab$ and $L = \{ab, c, cc\}$. Both rules output ab but L is not infix-free. □

Theorem 1 shows that we can eliminate the semantic difference between two rules by choosing an infix-free pattern. Moreover, if we know that a given pattern is an infix-free language, then an algorithm for one rule can be used for the other rule. For example, if a given pattern is an infix-free regular language, then we can use the algorithm of Clarke and Cormack [4] for the regular-expression matching problem with the longest-match rule. In additions, we can use an infix-free regular-expression matching algorithm [6] for both linearizing restriction rules; the algorithm takes $O(mn)$ time using $O(m)$ space in the worst-case.

4 Leftmost Non-overlapping Match Rule

In the pattern matching, two matching substrings of a given text T may overlap with each other. Assume that we want to find matching substrings of T and delete them from T. Then, only one of two overlapping matching substrings should be identified. For example, if T = BEFOREIGN and the pattern L = {BEFORE, FOREIGN}, then both BEFORE and FOREIGN are matching substrings with respect to L. However, if we delete BEFORE from T, then FOREIGN does not exist anymore. Similar situations can happen if we do modification or replacement for matching substrings. Therefore, if two matching substrings overlap, then only the string that starts ahead of the other string is identified. Sometimes one matching substring is nested in the other matching substring. Even in this case, we choose the string that has an earlier start position. For example, if T = AUTOPIAN and L = {TO, UTOPIA}, then UTOPIA is identified even though TO is in L and shorter than UTOPIA since UTOPIA starts ahead of TO in T. These two examples show that the previous two rules, the longest-match rule and the shortest-match substring search rule, are not suitable for such find-and-replace operations in text searching since both rules allow matching substrings to overlap. We suggest a new linearizing restriction that is suitable for find-and-replace operations by identifying only non-overlapping matching substrings.

Definition 1. *We define the leftmost non-overlapping match rule as follows:*

> *Given a text T, we identify the leftmost matching substring. Then, we move to the next position of the matching substring in T and repeat the identification of the leftmost matching substring in the remaining text until we cannot find it anymore. For example, if two matching strings overlap, then we choose the string whose start position is ahead of the other string's start position and discard the other string; see (a) in Fig. 1. If there are more than two matching substrings that start from the same position, then we choose the shortest string among them; see (b) in Fig. 1.*

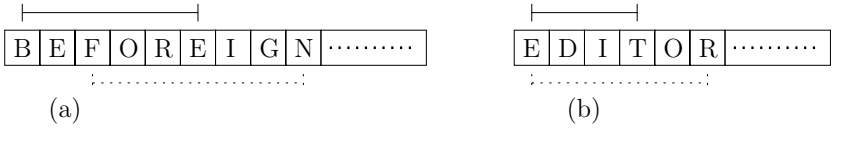

Fig. 1. The figure illustrates the leftmost non-overlapping match rule. (a) When the pattern is {BEFORE, FOREIGN}; the rule chooses BEFORE. (b) When the pattern is {EDIT, EDITOR}; the rule chooses EDIT.

Let $\mathcal{G}(L, T)$ denote the set of matching substrings of the given text T with respect to a given pattern L by the leftmost non-overlapping match rule. Let $|\mathcal{G}(L, T)|$ be the number of strings in $\mathcal{G}(L, T)$. For example, $\mathcal{G}(L = \{aa, ab, ba, bb\}$, $T = abcbabb) = \{(1, 2), (4, 5), (6, 7)\}$ and $|\mathcal{G}(L, T)| = 3$. Note that although the substring $T(5, 6) = ab$ is in L, it is not in $\mathcal{G}(L, T)$ since it overlaps with another

matching substring $T(4,5)$. From the definition of the leftmost non-overlapping match rule, we obtain the following results.

Proposition 1. *The leftmost non-overlapping match rule ensures that the number of matching substrings of T is at most n, where n is the size of T. Namely, $|\mathcal{G}(L,T)| \leq n$*

Proof. Assume that the number of matching substrings of T is greater than n. Then, by the pigeonhole principle, there must be two distinct substrings s_1 and s_2 that start from the same position in T — a contradiction. Therefore, $|\mathcal{G}(L,T)| \leq n$. □

Proposition 2. *If two distinct matching pairs (u_1, v_1) and $(u_2, v_2) \in \mathcal{G}(L,T)$, then either $v_1 < u_2$ or $v_2 < u_1$.*

Proof. By the match rule of Definition 1, two strings must be non-overlapping. Then, there are only two possible cases as shown in Fig. 2. □

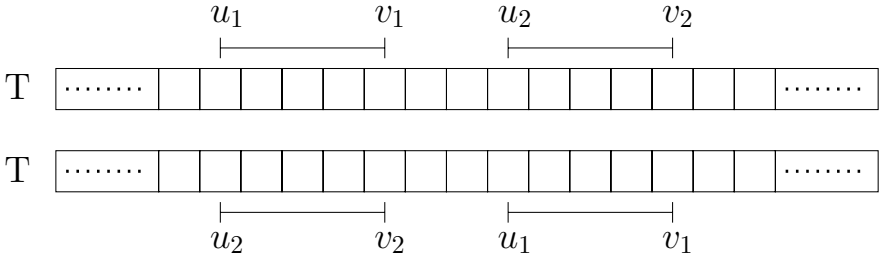

Fig. 2. Two possible cases of two non-overlapping substrings of T

Proposition 1 shows that we always have a linear number of matching substrings in the size of a given text by the leftmost non-overlapping match rule. Note that we do not require L to be a particular type of language such as a regular language or a context-free language. Similar to the longest-match rule or the shortest-match substring search rule, the leftmost non-overlapping match rule can be treated as a general principle for any text search application. Since regular expressions are often used for the matching problem, we study the regular-expression matching problem with the leftmost non-overlapping match rule in Section 5.

5 Regular-Expression Matching Problem

We consider the regular-expression matching problem using the leftmost non-overlapping match rule. Before we present an algorithm for this problem, we explain an example. Assume that we are given a regular expression $E = a(a+b)^*c$ for the text in Fig. 3. Then, $\mathcal{G}(L(E),T) = \{(1,5),(8,11),(12,14)\}$.

Note that $T(1,5), T(8,11)$ and $T(12,14)$ are not the only matching substrings of T with respect to $L(E)$. $T(3,5) = abc$ and $T(13,14) = ac$ are also

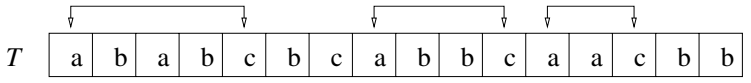

Fig. 3. The output of $\mathcal{G}(L(E), T)$, where $E = a(a+b)^*c$

in $L(E)$. Nevertheless, since both $T(3,5)$ and $T(13,14)$ overlap other matching substrings of T and they are not the leftmost matching substrings, the leftmost non-overlapping match rule does not identify them. For example, both $T(1,5)$ and $T(3,5)$ are in $L(E)$ but $T(1,5)$ is selected since $T(1,5)$ is the leftmost matching substring.

ExpressionMatching (A, T)

$Q = null(\{s\})$
if $f \in Q$ **then output** λ
for $j = 1$ **to** n
    $Q = null(goto(Q, w_j))$
    if $f \in Q$ **then output** j

Fig. 4. A regular-expression matching procedure for finding all the end positions of matching substrings of T with respect to A, where $A = (Q, \Sigma, \delta, s, f)$ is a Thompson automaton and $T = w_1 \cdots w_n$ is a text

We show that the regular-expression matching problem with the leftmost non-overlapping match rule can be solved using a double scan of T based on the algorithm of Crochemore and Hancart [5].

Theorem 2 (Crochemore and Hancart [5]). *Given a regular expression E and a text T, we can find all the end positions of matching substrings of T with respect to $L(E)$ in $O(mn)$ worst-case time with $O(m)$ space using ExpressionMatching, where m is the size of E and n is the size of T.*

The algorithm ExpressionMatching (EM) in Fig. 4 is a modified version of Aho's algorithm [1] that determines whether or not a given text has a substring accepted by a given finite-state automaton. EM has two sub-functions: The function $null(Q)$ computes all states in A that can be reached from a state in the set Q of states by null transitions and the $goto(Q, w_j)$ function gives all states that can be reached from a state in Q by a transition with w_j, the current input character. For details of the algorithm, the sub-functions and the time complexity, refer to Aho [1] or Crochemore and Hancart [5].

Given a regular expression E and a text $T = w_1 \cdots w_n$, we first compute all start positions of matching substrings of T with respect to E. We prepend Σ^* to E^R; thus, allowing matching to begin at any position in T^R. We construct the Thompson automaton [11] A for $\Sigma^* E^R$ and run ExpressionMatching (A, T^R).

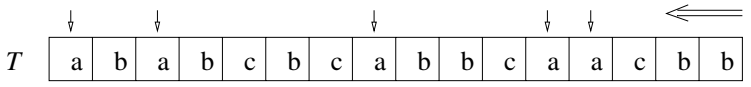

Fig. 5. The output of a single scan of T^R with respect to $\Sigma^* E^R$ using EM, where $E = a(a+b)^*c$

For example, if we run EM on the text in Fig. 3, then we obtain the following positions as indicated by "↓" in Fig. 5.

Since it takes $O(m)$ time to compute the Thompson automaton for E [11] and $O(mn)$ time to run EM, where m is $|E|$ and n is $|T|$, we can compute all start positions of matching substrings in $O(mn)$ time using $O(m)$ space. Let $P = \{q_1, \ldots, q_k\}$ be the set of the start positions of matching substrings after the single scan of T^R, where k is the number of matching start positions and $q_i < q_j$ for $i < j$. Then, we read a character from q_i position of T to find a corresponding shortest matching string with respect to E. Once we find one matching substring $T(q_i, j)$, where $q_i < j$, we move to the next start position in P that is greater than j to avoid the overlapping. A full algorithm is given in Fig. 6.

```
ReverseEM (A, T, P)

Q = { }, i = 1
for j = q_i to n
    Q = null(goto(Q, w_j))
    if f ∈ Q
        output (q_i, j)
        while (q_i < j)
            i = i + 1
        j = q_i
    fi
rof
```

Fig. 6. A reverse-scan matching procedure for a given Thompson automaton $A = (Q, \Sigma, \delta, s, f)$ for E, a text $T = w_1 \cdots w_n$ and a set $P = \{q_1, \ldots, q_k\}$ of the start positions of matching substrings of T with respect to E

For example, if we run ReverseEM for the result in Fig. 5, where $P = \{1, 3, 8, 12, 13\}$, then the algorithm first outputs $(1, 5)$. The algorithm skips 3 in P since it makes an overlapping with the current output $(1, 5)$ and goes to 8 in P to avoid an overlapping. Fig. 7 illustrates this step.

ReverseEM is based on EM in Fig. 4 and the **while** loop in ReverseEM speeds up for finding the next matching substring by skipping inappropriate start positions and ensures that the algorithm prohibits the overlapping matching substrings. Note that the **while** loop is executed at most k times in total even

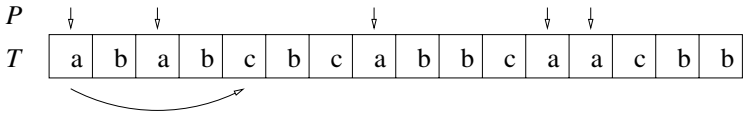

Fig. 7. An example of ReverseEM to find corresponding end positions for a given set P according to the leftmost non-overlapping match rule, where $E = a(a+b)^*c$. The algorithm skips position 3 and moves to position 8 after reporting $(1, 5)$ as a matching substring of T.

though it is inside the **for** loop. Therefore, the worst-case time complexity of ReverseEM is still $O(mn)$ using $O(m)$ space.

Theorem 3. *Given a pattern regular expression E and a text T, we can compute the set of matching substrings that conforms the leftmost non-overlapping match rule in $O(mn)$ worst-case time using $O(m)$ space, where m is the size of E and n is the size of T.*

Theorem 4. *A pair (u, v) is recognized by ReverseEM if and only if $(u, v) \in \mathcal{G}(L(E), T)$, where E is a given pattern regular expression and T is a given text.*

Proof. Assume that we have computed the set $P = \{q_1, \ldots, q_k\}$ of the start positions of matching substrings using EM in Fig. 4, where k is the number of start positions of matching substrings.

$\Longrightarrow$ If (u, v) is recognized by ReverseEM, then $T(u, v) \in L(E)$ and $u \in P$ since **output** in ReverseEM gives (q_i, j) and $q_i \in P$. It is clear that there are no matching substring $T(u, v')$, where $v' < v$, from the algorithm; namely, $T(u, v)$ is the shortest matching substring among all matching substrings that start from the same position u in T. Now assume that $T(u, v)$ overlaps with another matching substring $T(u', v')$ and $T(u, v)$ is not the leftmost matching substrings; hence, $u' < u < v'$. Then, when ReverseEM recognizes (u', v'), the value of j becomes v'. After the **output** (u', v'), ReverseEM executes the **while** loop to choose the next start position from P that is greater than the current position j. Since $u < j = v'$, u cannot be chosen as a start position because of the **while** loop. It implies that the algorithm skips the start position u and therefore (u, v) cannot be recognized by the algorithm — a contradiction; there cannot be a such matching substring $T(u', v')$ in T. Therefore, if (u, v) is recognized by ReverseEM, then $(u, v) \in \mathcal{G}(L(E), T)$.

$\Longleftarrow$ Since $(u, v) \in \mathcal{G}(L(E), T)$, $T(u, v)$ is the shortest matching substring from position u in T with respect to L and u must be in P. If u is q_1 in P, then it is clear that ReverseEM recognizes (u, v). Assume $u = q_i$, where $1 < i \leq k$. Now the only possible case that ReverseEM fails to recognize (u, v) is when u is skipped by the **while** in the algorithm; namely, $u < j$ for some j. It implies that there is an output (q', j), where $q' < u < j$ and $q' \in P$. It contradicts that $T(u, v)$ is the leftmost non-overlapping matching substring of T. Therefore, this situation is not possible and (u, v) must be recognized by ReverseEM. □

6 Conclusions

We have investigated linearizing restrictions for the pattern matching problem. We have reexamined the longest-match rule that is a generalization of the rule of IEEE POSIX [7] and the shortest-match substring search rule [4] and have shown that the two rules give the same result when the given pattern is an infix-free language. Note that both rules have different semantics and give different outputs in general. Then, we have introduced a new linearizing restriction, the leftmost non-overlapping match rule, which should be useful for implementing find-and-replace operations in text searching.

Furthermore, we have proposed an $O(mn)$ worst-case running time algorithm for the regular-expression matching problem using the new linearizing rule based on the algorithm of Crochemore and Hancart [5].

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