

## THE NUMBER OF FACTORS IN A PAPERFOLDING SEQUENCE

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We prove that the number of factors of length  $k$  in any paperfolding sequence is equal to  $4k$  once  $k \geq 7$ .

### 1. INTRODUCTION

A factor of an infinite sequence  $u = (u(n))_{n \geq 0}$  with values in  $A$  is a word on  $A$  occurring as  $u(n)u(n+1)\cdots u(n+k-1)$  for some  $n$ ;  $k$  is called the length of the factor.

The study of factors of infinite sequences goes back at least to Thue [15, 16] and has interested mathematicians and computer scientists working in combinatorics, symbolic dynamics, finitely generated groups, number theory, formal languages . . . .

Among the questions which have been addressed is the problem of computing for a given finite sequence  $u$  its complexity function  $P_u$ , where  $P_u(k)$  is the number of factors of length  $k$  in  $u$ . We quote here some results:

- if for some  $k$  one has  $P_u(k) \leq k$ , then  $u$  is ultimately periodic (see [13] for example),
- the sequences with minimal complexity which are not ultimately periodic satisfy  $P_u(k) = k + 1$ ; these are called Sturmian sequences (see [7] for example),
- if  $u$  is an automatic sequence (in the sense of [5]), then one has  $P_u(k) \leq Ck$  for some constant  $C$  [6];
- if  $u$  is the Thue-Morse sequence, then  $P_u(k)$  has been computed [4, 10]; it depends upon the digits of the binary expansion of  $k$ . More precisely the sequence  $(P_u(k+1) - P_u(k))_{k \geq 0}$  has only finitely many values and is an automatic sequence;
- if  $u$  is an automatic sequence satisfying some technical requirements, then  $(P_u(k+1) - P_u(k))_{k \geq 0}$  is also automatic [14].

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Very recently Shallit and the author proved in [2] that, for  $u$  a generalised Rudin-Shapiro sequence in the sense of [1], ( $u$  counts the parity of the number of blocks  $1 * \dots * 1$  in the binary expansion of  $n$ ), the function  $P_u(k)$  is ultimately affine. This result is somewhat surprising when compared to the complicated case of the Thue-Morse sequence.

We will prove here that the number of factors of length  $k$  of *any* paperfolding sequence (see [8] for instance for a definition) is equal to  $4k$ , provided  $k \geq 7$ . As a corollary we obtain that all generalised Rudin-Shapiro sequences in the sense of [12] (which except for the classical Rudin-Shapiro sequence are different from the sequences studied in [2]) have an ultimately affine complexity.

## 2. A QUICK SURVEY OF PAPERFOLDING

We recall that a paperfolding sequence is the sequence of ridges and valleys obtained by unfolding a sheet of paper which has been folded infinitely many times (see [3, 8, 11, 12]). In other words the sequence  $(u(n))_{n \geq 0}$  is a paperfolding sequence if and only if

$$\begin{aligned} u(4n) &= 0 && \text{(respectively 1),} \\ u(4n + 2) &= 1 && \text{(respectively 0),} \\ u(2n + 1) &&& \text{is a paperfolding sequence.} \end{aligned}$$

Another way of generating these sequences is to view them as Toeplitz sequences [9]: given an infinite binary sequence  $i = (i(n))_{n \geq 0}$  (sequence of “folding instructions”), one defines the paperfolding sequence  $u_i = (u_i(n))_{n \geq 0}$  with folding instructions  $i$  by successively “filling holes”:

- first step, one writes down the sequence  $(i(0)\overline{i(0)})^\infty$  at the even places, which gives

$$i(0) \bullet \overline{i(0)} \bullet i(0) \bullet \overline{i(0)} \bullet i(0) \bullet \overline{i(0)} \bullet \dots$$

- second step, one writes down the sequence  $(i(1)\overline{i(0)})^\infty$  at the even holes, which gives

$$i(0)i(1)\overline{i(0)} \bullet i(0)\overline{i(1)\overline{i(0)}} \bullet i(0)i(1)\overline{i(0)} \bullet \dots$$

and so on; the limit obtained after an infinite number of steps is the sequence  $u_i$ .

Finally we mention the generation of a paperfolding sequence by “perturbed symmetry” (see [3]).

If  $a$  is a letter (0 or 1), we define the operator  $T_a$  by: for every word  $M$ ,  $T_a(M) = Ma\bar{M}$  (where  $\bar{M}$  is obtained from  $M$  by reading  $M$  backwards, then replacing the 0’s by 1’s and the 1’s by 0’s).

Given a sequence  $a_0 a_1 \dots$ , one then obtains a paperfolding sequence by starting, say, from 0, and successively applying the operators  $T_{a_j}$ :

$$\begin{aligned} T_{a_0}(0) &= 0 a_0 1 \\ T_{a_1} T_{a_0}(0) &= 0 a_0 1 a_1 0 \bar{a}_0 1 \\ T_{a_2} T_{a_1} T_{a_0}(0) &= 0 a_0 1 a_1 \bar{a}_0 1 a_2 0 a_0 1 \bar{a}_1 0 \bar{a}_0 1 \\ &\dots \end{aligned}$$

Note that the word obtained at each step is of length  $2^r - 1$  for some  $r \geq 1$ .

### 3. O-FACTORS AND E-FACTORS IN A PAPERFOLDING SEQUENCE

In the sequel we say that a factor of the paperfolding sequence  $u_i = (u_i(n))_{n \geq 0}$  (with folding instructions  $i$ ) is an O-factor (respectively an E-factor) of  $u_i$  if it occurs in  $u_i$  as  $u_i(n)u_i(n+1) \dots u_i(n+k-1)$  with  $n$  odd (respectively  $n$  even). Note that a factor can simultaneously be an O-factor and an E-factor (for instance the factor 0 and the factor 1 are simultaneously O-factors and E-factors of any paperfolding sequence).

We take a sequence of folding instructions beginning with  $i(0) = \alpha$ ,  $i(1) = \beta$ , and write it as  $\alpha\beta j$  (so  $j$  is defined by  $j(n) = i(n+2)$ ).

Applying the Toeplitz process twice, we obtain:

$$(*) \quad \alpha\beta\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\beta\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\beta\bar{\alpha} \bullet \dots$$

We are now ready to state two lemmata:

**LEMMA 1.** *The E-factors of length  $\geq 4$  of a paperfolding sequence  $u_{\alpha\beta j}$  are in one of the following four disjoint classes:*

$$\begin{aligned} &\alpha\beta\bar{\alpha} \bullet \dots \\ &\bar{\alpha} \bullet \alpha\bar{\beta} \bullet \dots \\ &\alpha\bar{\beta}\bar{\alpha} \bullet \dots \\ &\bar{\alpha} \bullet \alpha\beta \bullet \dots \end{aligned}$$

The O-factors of length  $\geq 4$  of a paperfolding sequence  $u_{\alpha\beta j}$  are in one of the following four disjoint classes:

$$\begin{aligned} &\beta\bar{\alpha} \bullet \alpha \quad \dots \\ &\bullet \alpha\bar{\beta}\bar{\alpha} \quad \dots \\ &\bar{\beta}\bar{\alpha} \bullet \alpha \quad \dots \\ &\bullet \alpha\bar{\beta}\bar{\alpha} \quad \dots . \end{aligned}$$

PROOF: Inspection of (\*) reveals that the E-factors (respectively the O-factors) begin as written. Moreover the classes one obtains are disjoint regardless of  $\alpha$ ,  $\beta$  and the holes. □

LEMMA 2. If a factor of a paperfolding sequence has length greater than or equal to 7, then it cannot be simultaneously an o-factor and an e-factor.

PROOF: Once again inspecting (\*) one sees that a factor of  $u_{\alpha\beta j}$  of length greater than or equal to 7 begins in one of the following ways:

- 1-  $\alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \quad \dots$
- 2-  $\beta\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \quad \dots$
- 3-  $\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha \quad \dots$
- 4-  $\bullet\bar{\beta}\bar{\alpha} \bullet \alpha\beta \quad \dots$
- 5-  $\alpha\bar{\beta}\bar{\alpha} \bullet \alpha\beta\bar{\alpha} \quad \dots$
- 6-  $\bar{\beta}\bar{\alpha} \bullet \alpha\beta\bar{\alpha} \bullet \quad \dots$
- 7-  $\bar{\alpha} \bullet \alpha\beta\bar{\alpha} \bullet \alpha \quad \dots$
- 8-  $\bullet\alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta} \quad \dots .$

The cited words of length 7 are different (whatever the values of  $\alpha$ ,  $\beta$ , and the holes). In particular the E-factors (numbered 1, 3, 5, 7) and the O-factors (numbered 2, 4, 6, 8) (!) are different. □

#### 4. A RECURRENCE RELATION FOR THE NUMBER OF O-FACTORS AND E-FACTORS

For  $u_i = (u_i(n))_{n \geq 0}$  a paperfolding sequence with folding instructions  $i$ , one defines:

- $g_i(k)$  is the number of E-factors of length  $k$  in  $u_i$ ,
- $h_i(k)$  is the number of O-factors of length  $k$  in  $u_i$ .

How can we obtain an E-factor of length  $4k$  in  $u_{\alpha\beta j}$ ? Once again inspecting (\*) we see that an E-factor of length  $4k$  of  $u_{\alpha\beta j}$  is of one of the following types:

- 1:  $\alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \quad \dots$
- 2:  $\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta} \quad \dots$
- 3:  $\alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \quad \dots$
- 4:  $\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\bar{\beta}\bar{\alpha} \bullet \alpha\beta \quad \dots$

and these types are disjoint for  $4k \geq 4$  (Lemma 1). Moreover if one considers the subsequent steps in the Toeplitz process, one sees that the remaining holes are filled exactly by the E-factors of  $u_j$  in Cases 1 and 2 and by the O-factors of  $u_j$  in Cases 3 and 4.

Hence:

$$\forall k \geq 1 \quad g_{\alpha\beta j}(4k) = 2g_j(k) + 2h_j(k).$$

In the same way we compute the quantities  $g_{\alpha\beta j}(4k + r)$  and  $h_{\alpha\beta j}(4k + r)$  for  $r = 0, 1, 2, 3$ , obtaining the following proposition:

**PROPOSITION.** *One has the following relations for  $k \geq 1$ :*

$$\begin{aligned} g_{\alpha\beta j}(4k) &= 2g_j(k) + 2h_j(k), \\ h_{\alpha\beta j}(4k) &= 2g_j(k) + 2h_j(k), \\ g_{\alpha\beta j}(4k + 1) &= 2g_j(k) + 2h_j(k), \\ h_{\alpha\beta j}(4k + 1) &= g_j(k) + g_j(k + 1) + h_j(k) + h_j(k + 1), \\ g_{\alpha\beta j}(4k + 2) &= g_j(k) + g_j(k + 1) + h_j(k) + h_j(k + 1), \\ h_{\alpha\beta j}(4k + 2) &= g_j(k) + g_j(k + 1) + h_j(k) + h_j(k + 1), \\ g_{\alpha\beta j}(4k + 3) &= g_j(k) + g_j(k + 1) + h_j(k) + h_j(k + 1), \\ h_{\alpha\beta j}(4k + 3) &= 2g_j(k + 1) + 2h_j(k + 1). \end{aligned}$$

### 5. COUNTING THE FACTORS OF A PAPERFOLDING SEQUENCE

We are now able to prove the theorem:

**THEOREM.** *For any paperfolding sequence  $u_i = (u_i(n))_{n \geq 0}$ , the number of factors of length  $k$ ,  $P_{u_i}(k)$ , is given by:*

$$P_{u_i}(1) = 2, P_{u_i}(2) = 4, P_{u_i}(3) = 8, P_{u_i}(4) = 12, P_{u_i}(5) = 18, P_{u_i}(6) = 23,$$

and for all  $k \geq 7$ ,  $P_{u_i}(k) = 4k$ .

**PROOF:** Define

$$V_i(k) = \begin{pmatrix} g_i(k) \\ h_i(k) \\ g_i(k + 1) \\ h_i(k + 1) \end{pmatrix}.$$

The recurrence relations in the previous paragraph can be rewritten as:

$$V_{\alpha\beta j}(4k + 4) = A_r V_j(k) \quad \forall k \geq 1,$$

where the matrices  $A_r$  are given by

$$\begin{aligned}
 A_0 &= \begin{pmatrix} 2 & 2 & 0 & 0 \\ 2 & 2 & 0 & 0 \\ 2 & 2 & 0 & 0 \\ 1 & 1 & 1 & 1 \end{pmatrix}, & A_1 &= \begin{pmatrix} 2 & 2 & 0 & 0 \\ 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 \end{pmatrix}, \\
 A_2 &= \begin{pmatrix} 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 \\ 0 & 0 & 2 & 2 \end{pmatrix}, & A_3 &= \begin{pmatrix} 1 & 1 & 1 & 1 \\ 0 & 0 & 2 & 2 \\ 0 & 0 & 2 & 2 \\ 0 & 0 & 2 & 2 \end{pmatrix}.
 \end{aligned}$$

We then notice (still using  $(*)$  and considering all possibilities for  $\alpha$ ,  $\beta$ , and the holes) that, for every sequence of folding instructions  $j$ , one has:

$$g_j(1) = h_j(1) = 2, g_j(2) = h_j(2) = 4, g_j(3) = 4, h_j(3) = 8, g_j(4) = h_j(4) = 8.$$

Now we claim that for every sequence of instructions  $j$ , one has:

$$\begin{aligned}
 \forall k \geq 1, k \text{ even}, \quad V_j(k) &= \begin{pmatrix} 2k \\ 2k \\ 2k \\ 2k + 4 \end{pmatrix}, \\
 \forall k \geq 1, k \text{ odd}, \quad V_j(k) &= \begin{pmatrix} 2k - 2 \\ 2k + 2 \\ 2k + 2 \\ 2k + 2 \end{pmatrix}.
 \end{aligned}$$

The proof that this is true for every sequence  $j$  and for every  $k$  in  $[1, 4n - 1]$  follows easily by induction on  $n$  and is left as an exercise for the reader.

Finally, using Lemma 2, we obtain that, for every sequence of instructions  $i$ , one has:

$$\forall k \geq 7 \quad P_{u_i}(k) = g_i(k) + h_i(k) = 4k.$$

The values of  $P_{u_i}(k)$  for  $1 \leq k \leq 6$  are computed by hand using  $(*)$  for a final time. □

### 6. THE NUMBER OF FACTORS OF THE GENERALISED RUDIN-SHAPIRO SEQUENCES

(a) The sequences we consider here were introduced in [12] and are defined as follows: if  $u_i$  is a paperfolding sequence, one defines  $w_i$  by

$$\begin{aligned}
 w_i(0) &= 0 \\
 w_i(n) &= \sum_{t=0}^{n-1} u_i(t) \text{ modulo } 2, \text{ for } n \geq 1.
 \end{aligned}$$

These sequences have the Rudin-Shapiro property that

$$\left\| \sum_{n=0}^{N-1} (-1)^{w_i(n)} e^{2i\pi n z} \right\|_{\infty} \leq C_i \sqrt{N}.$$

We shall prove the following theorem (compare with the “other” generalised Rudin-Shapiro sequences studied in [2]):

**THEOREM 2.** *For any generalised Rudin-Shapiro sequence (in the sense of [12])  $w_i$  one has:*

$$P_{w_i}(1) = 2, P_{w_i}(2) = 4, P_{w_i}(3) = 8, P_{w_i}(4) = 16, P_{w_i}(5) = 24, P_{w_i}(6) = 36, \\ P_{w_i}(7) = 46,$$

and for all  $k \geq 8, P_{w_i}(k) = 8k - 8.$

We first need a lemma:

**LEMMA 3.** *Let  $u_i = (u_i(n))_{n \geq 0}$  be a paperfolding sequence. If  $F = u_i(n)u_i(n + 1) \dots u_i(n + k - 1)$  is a factor of  $u_i$  of length  $k$ , such that  $\sum_{t=0}^{n-1} u_i(t) = a$ , then there exists  $n'$  such that:*

- \*  $F = u_i(n')u_i(n' + 1) \dots u_i(n' + k - 1)$
- \*  $\sum_{t=0}^{n'-1} u_i(t) = 1 + a \text{ modulo } 2.$

Here we use the definition of paperfolding by means of “perturbed symmetry”. If  $M$  is a factor of  $u_i$ , then there exist two factors  $X$  and  $Y$  such that  $XYM$  is a left factor of  $u_i$  (that is, beginning at place 0) of length  $2^s - 1$  for some  $s \geq 1$ .

Now applying perturbed symmetry operators three times we see that  $u_i$  begins with:

$$XMY \alpha \tilde{Y} \tilde{M} \tilde{X} \tilde{\beta} XMY \bar{\alpha} \tilde{Y} \tilde{M} \tilde{X} \tilde{\gamma} XMY \alpha \tilde{Y} \tilde{M} \tilde{X} \tilde{\beta} XMY \bar{\alpha} \tilde{Y} \tilde{M} \tilde{X}$$

( $\bar{\alpha}$  means  $1 + \alpha$  modulo 2).

$M$  occurs four times. Denoting by  $s(X)$  the sum modulo 2 of the letters of  $X$  one sees that:

- \* the first occurrence of  $M$  is preceded by a word of sum  $s(X)$ ,
- \* the second occurrence of  $M$  is preceded by a word of sum  $s(X) + s(XMY) + s(\tilde{Y} \tilde{M} \tilde{X}) + \alpha + \beta$ ; but for every word  $Z, s(Z) + s(\tilde{Z}) = \text{length of } Z \text{ modulo } 2$ ; hence this sum is equal to  $s(X) + 1 + \alpha + \beta$ ;
- \* the third occurrence of  $M$  is preceded by a word of sum  $s(X) + 1 + \alpha + \beta + \text{length}(XMY) + \bar{\alpha} + \gamma = s(X) + 1 + \beta + \gamma$ ;
- \* the fourth occurrence of  $M$  is preceded by a word of sum  $s(X) + 1 + \beta + \gamma + \text{length}(XMY) + \alpha + \bar{\beta} = s(X) + 1 + \alpha + \gamma.$

As one cannot simultaneously have

$$1 + \alpha + \beta = 1 + \beta + \gamma = 1 + \alpha + \gamma = 0.$$

one of these sums is equal to 1, proving the lemma. □

PROOF OF THEOREM 2: (b) Let  $u_i = (u_i(n))_{n \geq 0}$  be a paperfolding sequence with sequence of folding instructions  $i$ , and let  $w_i$  be defined by:

$$w_i(0) = 0,$$

$$w_i(n) = \sum_{t=0}^{n-1} u_i(t) \quad \text{for } n \geq 1.$$

Let  $F_{u_i}(k)$  be the set of factors of  $u_i$  of length  $k$  and similarly define  $F_{w_i}(k)$ . Now define on  $F_{w_i}(k)$  ( $k \geq 2$ ) the map  $\psi_k$  by

$$\psi_k(e_0, e_1, \dots, e_{k-1}) = (e_0, e_0 + e_1, \dots, e_{k-2} + e_{k-1})$$

(the sums being taken modulo 2).

If  $n$  is such that  $w_i(n+t) = e_t$ , for  $0 \leq t \leq k-1$ , we see that  $u_i(n+t) = w_i(n+t) + w_i(n+t+1) = e_t + e_{t+1}$  for  $0 \leq t \leq k-2$ , hence  $\psi_k$  maps  $F_{w_i}(k)$  to  $\{0, 1\} \times F_{u_i}(k-1)$ .

Clearly  $\psi_k$  is one-to-one. To see that  $\psi_k$  is onto, we note that given  $(a_0, a_1, \dots, a_{k-1})$  in  $\{0, 1\} \times F_{u_i}(k-1)$ , there exists  $n$  such that  $u_i(n+t) = a_{t+1}$  for  $0 \leq t \leq k-2$ .

Hence:

$$w_i(n+1) = w_i(n) + a_1$$

$$w_i(n+2) = w_i(n) + a_1 + a_2$$

$$\dots$$

$$w_i(n+k-1) = w_i(n) + a_1 + a_2 + \dots + a_{k-1}.$$

So if  $w_i(n) = a_0$ , then  $w_i(n+t) = a_0 + a_1 + a_2 + \dots + a_t$  for every  $t$  in  $[0, k-1]$ , and this gives an element in  $F_{w_i}(k)$  such that

$$\psi_k(w_i(n), w_i(n+1), \dots, w_i(n+k-1)) = (a_0, a_1, \dots, a_{k-1}).$$

If now  $w_i(n) = 1 + a_0$ , (that is  $\sum_{t=0}^{n-1} u_i(t) = 1 + a_0$ ), then by Lemma 3 there exists an integer  $n'$  such that  $\sum_{t=0}^{n'-1} u_i(t) = a_0$ , that is,  $w_i(n') = a_0$  and  $u_i(n'+t) = u_i(n+t) = a_{t+1}$  for  $0 \leq t \leq k-2$ .

Hence  $w_i(n' + t) = a_0 + a_1 + \cdots + a_t$  for  $0 \leq t \leq k - 1$ , and

$$\psi_k(w_i(n'), w_i(n' + 1), \dots, w_i(n' + k - 1)) = (a_0, a_1, \dots, a_{k-1}).$$

Thus finally  $\psi_k$  is a bijection from  $F_{w_i}(k)$  onto  $\{0, 1\} \times F_{u_i}(k - 1)$ , which proves that:

$$P_{w_i}(k) = 2P_{u_i}(k - 1), \quad \text{for } k \geq 2,$$

and our Theorem 2 is now nothing but a reformulation of Theorem 1.  $\square$

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