# TWO NONLINEAR LOWER BOUNDS FOR ON-LINE COMPUTATIONS

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### ABSTRACT:

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We prove the following lower bounds for on line computation.

- 1) Simulating two tape <u>nondeterministic</u> machines by one tape machines requires  $\Omega(n \log n)$  time.
- 2) Simulating k tape (deterministic) machines by machines with k pushdown stores requires  $\Omega(n \log^{1/(k+1)} n)$  time.

# List of Symbols

- g upper case theta
- n upper case omega
- € 'belongs' sign
- u lower case omega
- e lower case epsilon
- ☐ box (end of proof sign)
- a lower case alpha
- $\Sigma$  sigma

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#### INTRODUCTION

One of the major goals of theoretical computer science is proving nontrivial lower bounds on the (time or space) complexity of specific problems. Unfortunately, despite continued research effort for the last ten years, the success in proving lower bounds has been minimal. The only known general lower bounds are at least exponential [2 Chapter 11]. For no specific problem in NP we can prove a nontrivial lower bound on its time complexity. Being unable to prove general lower bounds, researchers considered restricted models of computation or restricted versions of lower bounds. Here are a few examples:

- --Straight line programs
- --Decision tree model
- -- Monotone circuita
- --On-line computations
- --Time-space tradeoffs: lower bounds on time given upper bounds on space
- --Fooling automata: showing that certain automata cannot accept certain languages.

As a result of restricting the problem. it has been possible to prove some lower bounds in these restricted models. However

even in these cases results are nontrivial and many open problems exist.

There are several reasons why we try to prove restricted lower bounds. Sometimes the attempts to prove restricted lower bounds bring about the discovery of interesting techniques that may be useful elsewhere. The study of restricted lower bounds enables us to determine how far our current techniques and their refinements can bring us. It helps us to identify the simplest problems, where current techniques fail. Once these problems are identified, the new ideas which will lead to their solution may be useful in proving general lower bounds.

We prove here two lower bounds for restricted models of computation. In both cases we consider <u>on-line</u> computation.

By on-line we mean having an additional <u>one-way</u> input tape. We also restrict the storage used. Our two results are:

- 1) Two tapes versus one for nondeterministic machines—an  $\Omega(n \log n)$  lower bound. (Previously, we knew only that no real-time simulation exists [4]. More recently [5] we proved an  $\Omega(n \log \log n)$  lower bound.)
- 2) Tapes versus pushdown stores (for deterministic machines)—an  $\Omega(n \log^{1/(k+1)} n)$  lower bound. (No lower bound was previously known.)

The first result refines and extends the use of the

crossing sequence argument. The second result extends the use of information theoretic approach to proving lower bounds.

#### TWO TAPES VERSUS ONE FOR NONDETERMINISTIC MACHINES

It is known that a nondeterministic machine with two tapes can simulate a k-tape linear-time machine in real time [3]. So, for nondeterministic machines, the only question left concerning the influence of the number of tapes on the computing power of the machine is to determine the difference in computing power between one and two-tape machines. (Recall that the input tape is not counted.)

The currently best upper bound for simulating a real-time two-tape machine by a one-tape machine is (the trivial)  $O(n^2)$ . In [4] we showed that two tapes are better than one. We considered the language  $L = \{x \# x \mid |x| = 2^m \text{ for some } m\}$ , and showed that it is accepted in real time by a two-tape (deterministic) machine and cannot be accepted in real time by a one-tape machine. Our first result is:

THEOREM 1. Any one-tape on-line nondeterministic machine that accepts L requires  $\Omega(n \log n)$  time.

For the sake of comparison, we roughly sketch the previous result that no real-time simulation exists: we assume that

L is accepted by a real-time one-tape machine M and derive a contradiction. For every y  $\in$  L we arbitrarily fix an accepting computation. Then, by a simple counting argument we show the existence of y  $\in$  L, such that its accepting computation must use at least a linear amount of space. We now consider the accepting computation of M on y. We divide the working tape into blocks of some constant length. By the pigeon hole argument, there must be a block such that the total time it is scanned is small. Another counting implies that there are two identical crossing sequences in this block. As a result. M must accept a shorter input. This gives a contradiction, since the shorter input is not short enough. (It is shorter by a constant and cannot be of length  $2 \cdot 2^k + 1$ .)

The global strategy of the proof of Theorem 1 is similar.

We will fool a machine M that supposedly accepts L in time

< cn log n (for some c that we specify) by showing that it

must accept a shorter input that is not short enough. This is

achieved by finding two identical crossing sequences in between

which: (1) M reads an input symbol and (2) M does not spend

much time. Finding such crossing sequences will not be as

immediate as in our previous paper [4].

PROOF OF THEOREM 1: We assume that L is accepted by an
on-line nondeterministic Turing machine M that has q

internal states and t different symbols for its working tape. We consider the behavior of M on inputs from  $L_n$ , the subset of L of strings of length m=2n+1,  $n=2^k$ . We choose n to be large enough for some of the inequalities below to be true. For each input y in  $L_n$  we arbitrarily fix an accepting computation of M. We refer to it as the accepting computation of y.

During a computation M sometimes reads new input symbols. Without loss of generality, when M does not read a new input symbol its next state depends on its state and the symbol on the working tape but not on the input symbol. This can be easily achieved by having reading states (when M reads a new input symbol) and nonreading states. The latter can encode the last input symbol that M has read.

Let

$$\alpha = \max(\log 4q, \log \pm) \tag{1}$$

and fix a constant c small enough such that for sufficiently large n  $(n > n_0(c))$ 

$$a^{8ca \cdot \log n + 1} < n^{1/4}/(32ac \cdot \log n)$$
 (2)

We assume that M accepts  $L_n$  in time  $t(n) < cn \log n$ , and derive a contradiction following several definitions and lemmas.

(Note that the length of the input is actually m, but it does not matter because m = 2n + 1.)

For y in L<sub>n</sub>, y = x#x, consider the part of the computation of M on y until M reads the #. A tape cell on the working tape of M is called an <u>important cell</u> if M read a new input symbol in at least one of the times it scanned it. Two important cells are said to be <u>close</u> if their distance is at most 2[3ac log nl. A <u>bunch</u> is a maximal sequence of important cells such that two successive elements in it are close.

Assume there are r bunches,  $r \ge 1$ . Consider the first (last) important cell of the i-th bunch,  $1 \le i \le r$ . Of the  $\lceil 3 \text{cc} \log n \rceil$  boundaries to the left (right) of it, choose the one with the shortest crossing sequence. Denote this boundary by  $b_{2i-1}$  ( $b_{2i}$ ) and the crossing sequence by  $A_{2i-1}$  ( $A_{2i}$ ). We call the part of the tape between  $b_{2i-1}$  and  $b_{2i}$  the <u>i-th piece</u>. Let  $y_i$  be the contents of the i-th piece when M reads the z. For  $1 \le i \le 2r$  let  $\overline{A}_i$  be a modified version of  $A_i$ : if  $A_i = (q_1, \dots, q_z)$ , then  $\overline{A}_i = ((q_1, e_1), \dots, (q_z, e_z))$ ,  $e_j \in \{0,1\}$  for  $1 \le j \le z$  and  $e_j = 1$  iff in between the j-th and the (j+1)st crossing M crossed an adjacent boundary ( $b_{i-1}$  or  $b_{i+1}$ ).

The profile of x is the following set:

 $\{(A_{2i-1},A_{2i},y_i) | i=1,...,r, \text{ the (important) cell scanned}$ and the state when M reads the #}. See Figure 1.

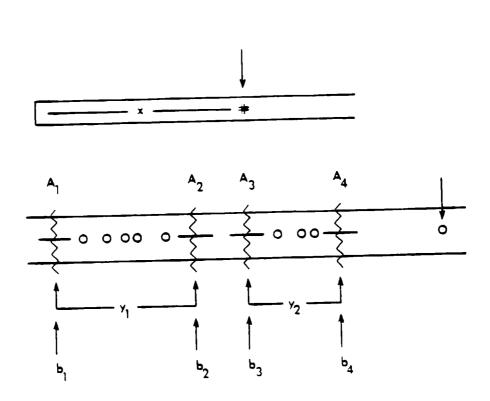


Figure 1: The first two pieces. Circles denote important cells.

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If  $x_1 \neq x_2$ , then  $x_1$  and  $x_2$  have different profiles.

PROOF: Given an accepting computation of  $y = x \not = x$  in  $L_n$  we define the <u>special configuration</u> of this computation to be the triple (z,i,p) where z is the contents of the working tape, i the position of the head on the working tape and p the state of M when it reads the  $\not = A$  assume C is the special configuration of the accepting computation of  $x_1 \not = x_1$ . If  $x_1$  and  $x_2$  have the same profile, then there is an accepting computation of  $x_2 \not = x_2$  with the <u>same</u> special configuration C. This follows from the usual cut and paste trick and the fact that M did not read any input when it scanned the parts between  $b_{2i}$  and  $b_{2i+1}$  of the working tape. (These parts are the ones that do not appear in the profiles.) But this would imply that M must accept also  $x_1 \not = x_2$ . (another cut and paste) and hence  $x_1 = x_2$ .  $\square$ 

LEMMA 2: There is a  $y = x \# x \in L_n$ , such that the total length of all the pieces in the profile of  $x (\sum_{i=1}^r |y_i|)$  is at least  $n/3\alpha$ .

PROOF: By the choice of the boundaries bi

 $\sum_{i=1}^{2r} |A_i| \cdot |3ac \log n| \le t(n) \le cn \log n.$ 

Hence  $\Sigma_{i=1}^{2r} |A_i| \leq n/3\alpha + o(n)$ , and by (1) the number of possible  $\{\vec{A}_i\}$ 's is at most  $2^{n/3+o(n)}$ . If we always have  $\Sigma_{i=1}^{r} |y_i| < n/3\alpha$ , then by (1) the number of all possible  $\{y_i\}$ 's would be  $2^{n/3}$ , and the number of possible profiles would be  $2^{n/3+o(n)} < 2^n$  for a large enough. But by Lemma 1, the latter is impossible.

From now on we restrict attention to the y of Lemma 2. We partition the working tape into blocks of  $n^{1/2}$  consecutive tape cells. Each block we further partition into  $n^{1/4}$  subblocks. (Recall, that  $n=2^k$ .) A subblock is important if it contains an important cell. Note that the total number of complete blocks (subblocks) is at most  $t(n)/n^{1/2} \le cn^{1/2}\log n$  (cn  $3^{1/4}\log n$ ).

LEMMA 3: There are at least  $n^{3/4}/4\alpha$  important subblocks.

PROOF: Let Y be the union of all the pieces. A non-important subblock which hits Y can contain at most  $2\lceil 3c\alpha \log n \rceil$  cells of Y. (At most the last  $\lceil 3c\alpha \log n \rceil$  in a piece and the first  $\lceil 3c\alpha \log n \rceil$  in the next piece.) So altogether nonimportant subblocks can contain at most  $cn^{3/4}\log n \cdot 2\lceil 3c\alpha \log n \rceil = o(n)$  cells in Y. By Lemma 2,  $|Y| \ge n/3\alpha$  and the important subblocks must cover at least

 $n/3\alpha - o(n)$  cells of Y. Hence their number must be at least  $n^{3/4}/4\alpha$ , for n large enough.

Let S be the set of important subblocks in which M spent less than  $8can^{1/4}$  log n time. ...

LEMMA 4: 
$$|S| \ge n^{3/4}/8\alpha$$
.

<u>PROOF:</u> Otherwise by Lemma 3, M spends at least  $8can^{1/4}$  log n time in more than  $n^{3/4}/8a$  subblocks for a total > cn log n.

LEMMA 5: Each subblock in S has a crossing sequence of length at most 8cc log n.

PROOF: Obvious.

Let R be the set of blocks that contain at least  $n^{1/4}/(16\alpha c \log n)$  subblocks in S.

LEMMA 6:  $|R| \ge n^{1/2}/16\alpha$ .

PROOF: Otherwise, the number of blocks in S would be smaller
than

$$n^{1/2}/16\alpha \cdot n^{1/4} + cn^{1/2} \log n \cdot n^{1/4}/(16\alpha c \log n)$$

$$\leq n^{3/4}/8\alpha$$
, contradicting Lemma 4.  $\square$ 

LEMMA 7: There exist a block B in R such that M spent at most  $16\alpha cn^{1/2}$  log n steps on B.

<u>PROOF</u>: Otherwise the time bound of M would exceed  $|R| 16\alpha cn^{1/2} \log n \ge cn \log n$ .

We are ready to complete the proof of Theorem 1. Consider the block B. It contains at least  $n^{1/4}/(16\alpha c \log n)$  subblocks in S:  $B_1, B_2, \ldots$ . Consider every other one:  $B_1, B_3, \ldots$ . There are at least  $n^{1/4}/(32\alpha c \log n)$  of them. By Lemma 5, each one cont a crossing sequence of length at most 8ca log n. By (2), two of them must be identical. Hence M accepts a shorter input (due to at least one important subblock in between them). By Lemma 7, the length of this shorter input is at least  $2 \cdot 2^k + 1 - 0(k2^{k/2}) > 2 \cdot 2^{k-1} + 1$  for k large enough.  $\square$ 

REMARK: Theorem 1 answers affirmatively problem 2 in [4]. Lean be easily accepted in time  $O(n \log n)$  by an on-line deterministic one-tape Turing machine. Theorem 1 shows that even allowing the machine to be nondeterministic it still requires time  $\Omega(n \log n)$ . Consequently we have an interesting example where nondeterminism does not help.

#### TAPES VERSUS PUSHDOWN STORES.

In this section we use a slightly different notion of on-line computation. Let M be a multitape (multipushdown) deterministic Turing machine that given sequences  $E = e_1, e_2...$ 

of input symbols as an input tape produces sequences  $A = a_1, a_2...$  of output symbols as an output tape. M works on-line if for any inputs E the computation of M given E proceeds in stages 1,2,... such that for all i during the i-th stage input symbol  $e_i$  is read, some computation is performed and output symbol  $a_i$  is printed. M works in real time if there is a constant c such that for all inputs E and all i the i-th stage of the computation of M given E consists of at most c steps. Machine S simulates machine M if for all inputs E machine S given E produces the same output as machine M given E.

We use the concepts of on-line and real-time computations; Kolmogorov-complexity of strings, random strings and overlap. Their definitions can be found in [9]. It is well known that k-tape Turing machines can be simulated in real time by 2k-pushdown store (pds) machines. On the other hand, on-line simulation of n-time bounded (k+1)-pds machines by k-pds (or even k-tape) machines requires time  $\Omega(n \log^{1/(k+1)} n)$  [9]. Here, we observe that for the purpose of the lower bound proof in [9], k-tape machines behave like (k+1)-pds machines and show:

THEOREM 2: For all k there is a k-tape Turing machine  $M_k$  that works in real time such that every k-pushdown machine S that simulates  $M_k$  on-line is  $\Omega(n \log^{1/(k+1)} n)$ -time bounded.

We assume that the reader is familiar with [9].

DEFINITION OF  $M_k$ : We number the tapes of  $M_k$  from 1 to k.

Each tape has 2 tracks. Each cell of each track can store 0 or 1. Initially, all cells store the blank symbol b. Input symbols for  $M_k$  have the form (h,d,t,a) where  $h \in \{1,\ldots,k\}$ ,  $d \in \{left,right\}$ ,  $t \in \{1,2\}$  and  $a \in \{print \ 0.print \ 1$ , do nothing}. Upon receiving input symbol (h,d,t,a) machine  $M_k$  moves the head on tape h one step in direction d, outputs the symbol it finds on track t of the cell it just moved to and then performs action a on that cell. For natural numbers  $\ell$ , the input sequence  $(h, left, t, do nothing) \ldots (\ell-times)$  is called an  $\ell$ -loop for track t of tape h.

## INPUT SEQUENCES FOR M.

Let S be a k-pushdown machine with alphabet  $\{0,1,b\}$  that simulates  $M_k$  on-line. Let n be large enough for the analysis that follows, let  $s = \lfloor (\log n)/2 \rfloor$  and  $d = \lfloor (\log n)^{1/(k+1)} \rfloor$ . For convenience, assume 8k(k+1) divides n. Let  $w = zw_1 \dots w_k \in \{0,1\}^*$  be a random string where  $|w_h| = n2^S d^h$  for  $h \in \{1,\dots,k\}$  and  $|z| = n2^S$ . Let G be an input sequence that makes head 1 of  $M_k$  print z from right to left on track 1 of tape 1.

For  $h \in \{1, ..., k\}$  let  $C_h$  be an imput sequence that makes

head h of  $M_k$  print  $w_h$  from left to right on track 2 of tape h. Let  $D_1 = C_1$  and for  $i \in \{2, \ldots, k\}$  obtain  $D_i$  from  $D_{i-1}$  by inserting d commands from  $C_i$  after every command from  $C_{i-1}$  that is already inserted in  $D_{i-1}$ . The sequence  $E = D_k$  has length

$$|E| = n2^{s}(d+d^{2}+...+d^{k})$$
  
=  $9(n2^{s} \log^{k/(k+1)} n)$ ,

and any subsequence E' of E of length  $n'(d+d^2+...+d^k)$  that begins with a command from  $c_1$  makes  $M_k$  write  $n'd^k$  symbols from  $w_k$  on tape h for h=1,...,k.

Divide E into 2<sup>s</sup> parts  $E_i$  of length  $n(d+...+d^k)$ . The final input sequence for  $M_k$  will have the form  $GE_0F_0E_1F_1$ ... where each  $F_i$  consists of up to s+1  $\ell$ -loops. The choice of these  $\ell$ -loops depends on the behavior of the simulator.

## THE CHOICE AND EFFECT OF THE 2-LOOPS IN Fi.

Let I be a time interval, i.e. a sequence of steps in a computation of S, let  $h \in \{1, ..., k\}$  and let e be a natural number. We say S extends pushdown h by e during I, if the number of steps in that interval when S pushes a symbol on pushdown h minus the number of steps in that interval when S pops a symbol from pushdown h is e. v(I) denotes

the internal overlap of time interval I.

We will partition the computation of the simulator S given  $E_0F_0E_1F_1\dots$  into intervals  $I_{s,0},I_{s,1},\dots$  where interval  $I_{s,j}$  lasts from the first step of the simulation of  $E_j$  to the last step of the simulation of  $F_j$ . For  $0 \le i < s$  and  $0 \le j < 2^{s-i}$  intervals  $I_{i,j}$  are defined by

$$I_{i,j} = I_{i+1,2j} \cup I_{i+1,2j+1}$$

The weight  $w(I_{i,j})$  of interval  $I_{i,j}$  is defined as  $2^{s-i}$ . For all j, let  $A_j = \{(a,b)\}$  interval  $I_{a,b}$  ends with  $F_j\}$ . For each  $(a,b) \in A_j$  there will be a part  $F_{a,b}$  in  $F_j$ , which will be either an  $\ell$ -loop or empty.

Let  $B \subset A_j$  and suppose that for all  $(a,b) \in B$  part  $F_{a,b}$  has already been defined and simulated by machine S. Let t be the last step performed so far by S. For each  $(a,b) \in A_j - B$  let  $I_{a,b}(t)$  be the time interval in the computation of S that begins with the first step  $I_{a,b}$  and lasts until step t. Let

$$m = n/(8(k+1)).$$

If  $w(I_{a,b}(t)) \ge m \cdot w(I_{a,b})$  for all  $(a,b) \in A_j$  - B, then all parts  $F_{a,b}$  with  $(a,b) \in A_j$  - B are empty and  $F_j$  is completed. Otherwise, we pick  $(a,b) \in A_j$  - B such that

$$w(I_{a,b}(t)) \leq m \cdot w(I_{a,b})$$

and define an  $\ell$ -loop  $F_{a,b}$ . For the remainder of this section, a, b and t will be fixed and we will use the shorthand I for  $I_{a,b}(t)$  and w(I) for  $w(I_{a,b})$ .

Let E' be the portion of E that is simulated during I. Then  $|E'| = nw(I)(d+\ldots+d^k)$ . Partition it into k parts  $E^1 \ldots E^k$  of equal length. This induces a partition of I into parts  $I^1 \ldots I^k$  where each interval  $I^i$  begins with the first step of the simulation of  $E^i$ . Let N = nw(I) and N' = N/(8k(k+1)). Following the argument in [1,9] we say S neglects tape h of  $M_k$  during I if every pushdown that is extended by at least  $N'd^h$  during interval  $I^h$  is extended by at least  $N'd^h$  during interval  $I^h$  is extended by at

Now we consider two cases:

CASE 1. At least one pushdown of S extends by less than N'd during I.

In this case, S behaves (for the purpose of the lower bound proof in [9]) like a (k-1) pushdown machine and the arguments in [9] apply almost literally. One finds  $h \in \{1, \ldots, k\}$  such that S neglects tape h of M<sub>k</sub> during I.  $F_{a,b}$  is defined as an 1-loop for track 2 of tape h of M<sub>k</sub> that makes head k of M<sub>k</sub> sweep over the portion u of w<sub>h</sub> that was written on tape h during interval I<sup>h</sup>, i.e..

 $\ell = Nd^{h}(k-h+1)/k.$ 

The simulation of  $F_{a,b}$  will take S at least  $Nd^{h+1}/(25\ k(k+1)) \ge c(2\ell)d \ \text{steps by Lemma 2 in [9]}.$ 

CASE 2: All pushdowns of S extend by at least N'd during I. In this case, we can treat track 1 of tape 1 of  $M_k$  as a tape with number h = 0 that has been neglected by S during I.  $F_{a,b}$  is defined as an  $\ell$ -loop for track 1 of  $M_k$  with  $\ell = N$ , and the simulation of  $F_{a,b}$  will take S at least Nd/(25k(k+1))  $\geq c(2\ell)d$  steps by a simple version of the proof of Lemma 2 in [9]: Let u be the contents of track 1 of the  $\ell$  tape cells immediately to the left of the head of tape 1 of  $M_k$ . For  $1 \leq i \leq k$  let  $x_i$  be the portion of  $w_i$  that was written on tape i of  $M_k$  during I. Assuming the claim is false, one derives the contradiction

 $|u|-0\,(\log\,n)\leq\,K(u|x_1\dots x_k)\leq\,|u|/2\,+\,0\,(\log\,n)\,.$  (Since all pushdowns of S extend by much during I and I has a small overlap, we can simulate M $_k$  on I given  $x_1\dots x_k$  and only small part of the top of the k pushdown stores. The latter is bounded by the overlap  $\leq |u|/2$ .)

The rest of the proof follows as in [9]: let  $F = F_0 \dots F_2 s_{-1}.$  In both cases above S is slower than  $M_k$  by a factor proportitional to a  $(=\log^{1/(k+1)} n)$  when it works on F. So if  $|F| \ge |E|$  the proof is complete. If |F| is small, this means that many  $F_{a,b}$ 's are empty. So many intervals

with large overlap exist. In this case the generalized version of the overlap lemma (Lemma 1 in [9]) yields the desired lower bound.

#### OPEN PROBLEMS.

- 1) Can the gap between the trivial  $O(n^2)$  upper bound and the lower bound of Theorem 1 be narrowed or closed?
- 2) Is the  $\Omega(n \log^{1/(k+1)} n)$  lower bound of Theorem 2 best possible?
- 3) Are 2 heads on the same tape better than 2 (or even 3) heads on different tapes? (They are not better than 4 [7].)
- 4) Can 2(k) tapes sometimes be better than 3 (k+1,k+2,... or even 2k-1) pds's?
- 5) Find tight bounds for the simulation of k+l tapes by  $k \quad (\text{or by } j < k) \text{ tapes } k \geq 2 \text{ (known upper and lower bounds}$  are  $0 \text{ (n log n) } [6] \text{ and } \Omega \text{ (n log}^{1/k+1} \text{n) } [9])$ .
- 6) Find tight bounds for the simulation of k (or 2) tapes by one tape (known upper and lower bounds:  $0(n^2)$ ,  $\Omega(n \log n)$  by Theorem 1).
- 7) Can Kolmogorov-Uspenskii machines simulate storage modification machines in real time?
- 8) Can Turing machines with tree-tapes simulate two-dimensional Turing machines in real time?

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