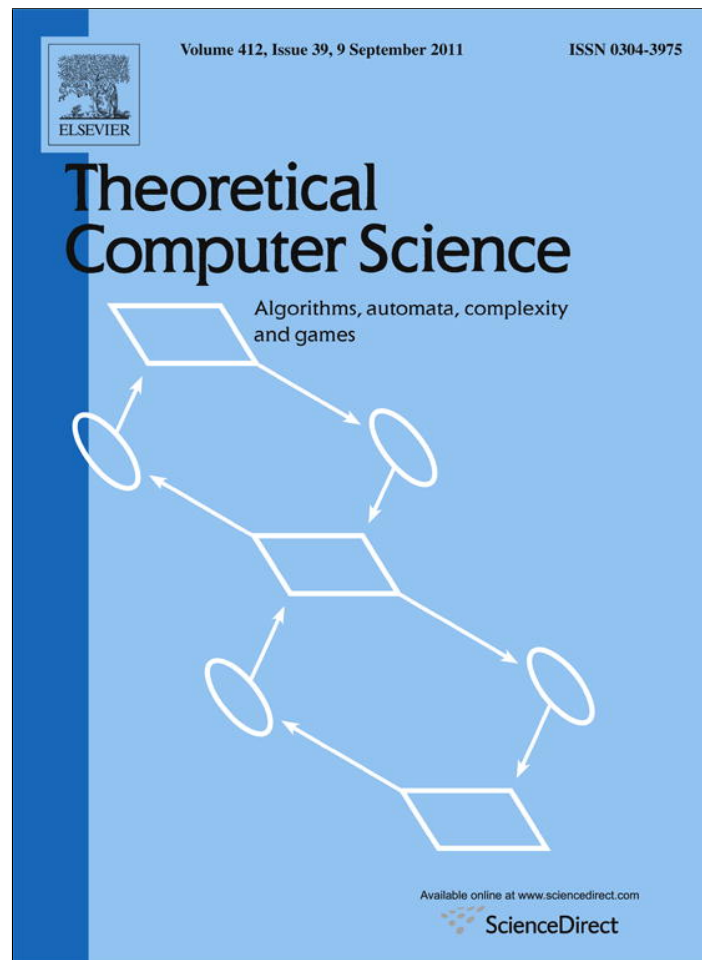


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The convergence classes of Collatz function

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ARTICLE INFO

Article history:

Received 4 August 2010

Received in revised form 13 May 2011

Accepted 25 May 2011

Communicated by D. Perrin

Keywords:

Collatz conjecture

 $3n + 1$ problem

ABSTRACT

The Collatz conjecture, also known as the $3x + 1$ conjecture, can be stated in terms of the reduced Collatz function $R(x) = (3x + 1)/2^h$ (where 2^h is the larger power of 2 that divides $3x + 1$). The conjecture is: *Starting from any odd positive integer and repeating $R(x)$ we eventually get to 1.* G_k , the k -th convergence class, is the set of odd positive integers x such that $R^k(x) = 1$.

In this paper an infinite sequence of binary strings s_h of length $2 \cdot 3^{h-1}$ (the *seeds*) are defined and it is shown that the binary representation of all $x \in G_k$ is the concatenation of k periodic strings whose periods are s_k, \dots, s_1 . More precisely $x = s_{k,d_{k,1}}^{[n_1]} \dots s_{1,d_{k,k}}^{[n_k]}$ where $s_{k,d_{k,i}}^{[n_i]}$ is the substring of length n_i that starts in position $d_{k,i}$ in a sufficiently long repetition of the seed s_i .

Finally, starting positions $d_{k,i}$ and lengths n_i for which $s_{k,d_{k,1}}^{[n_1]} \dots s_{1,d_{k,k}}^{[n_k]} \in G_k$ are defined, thus giving a complete characterization of classes G_k .

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1. Introduction

The Collatz function is defined on all positive integers x by:

$$f(x) = \begin{cases} x/2 & x \text{ even} \\ 3x + 1 & x \text{ odd.} \end{cases}$$

Given any odd integer x , let $x' = (3x + 1)/2^h$ where 2^h is the highest power of 2 that divides $3x + 1$. The reduced form of the Collatz function is $R(x) = x'$ and is defined only for odd integers.

The Collatz conjecture says that for all integers $x > 0$ there exists i such that $f^i(x) = 1$ or, equivalently, that there exists k such that $R^k(x) = 1$.

Despite the efforts of many people for about seventy years, the conjecture is still undecided. The efforts are well documented in a very large literature. The problem has been attacked from many viewpoints. The Collatz function has been studied in large domains: Integer, rational, real and even complex numbers (where a beautiful fractal has been obtained) [5,3,4,9]. The Collatz conjecture has been also proved equivalent to many other conjectures in different contexts: Rewriting systems, tag systems, etc. [7,2,6].

Our bibliography contains only a very small and incomplete selection of papers; we refer interested readers to the large annotated bibliography in Lagarias [1]. The paper by Jean Paul Van Bendegem [10] is a philosophical essay on the $3x + 1$ problem.

The paper is organized as follows: Section 2 shows the direct computation of G_k , as sets of binary strings, for the first few values of k . Those computational experiments suggest that binary strings in G_k are the concatenation of k periodic strings whose periods, that we call *seeds*, are of length $2, 6, 18, \dots, 2 \cdot 3^{k-1}$. In Section 3 some useful (and beautiful) properties of seeds are proved. Section 4 contains the main result: A complete characterization of classes G_k as sets of binary strings.

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2. Computational experiments

Define the inverse $R^{-1}(x)$ of the reduced Collatz function as the set of odd integers such that $y \in R^{-1}(x)$ iff $R(y) = x$. We can easily see that

$$R^{-1}(x) = \begin{cases} \emptyset & \text{if } x \equiv 0 \pmod{3} \\ \left\{ \frac{x2^{2m+2} - 1}{3} : m \geq 0 \right\} & \text{if } x \equiv 1 \pmod{3} \\ \left\{ \frac{x2^{2m+1} - 1}{3} : m \geq 0 \right\} & \text{if } x \equiv 2 \pmod{3}. \end{cases}$$

Let G_k the class of odd integers x that converge to 1 in k steps, i.e. such that $R^k(x) = 1$. The class G_k can be defined inductively by

$$G_0 = \{1\}$$

$$G_k = \bigcup_{x \in G_{k-1}} R^{-1}(x).$$

For a binary string s let $\llbracket s \rrbracket$ be the non-negative integer whose binary representation is s . In what follows we see classes G_k as sets of binary strings.

Clearly $G_0 = \{1\}$: The singleton set that contains only the binary string 1.

Let us compute first G_1

$$G_1 = \bigcup_{x_0 \in G_0} R^{-1}(x_0) = R^{-1}(1) = \left\{ \frac{4^{m_1+1} - 1}{3} : m_1 \geq 0 \right\} = \left\{ \sum_{i=0}^{m_1} 4^i : m_1 \geq 0 \right\}.$$

If we represent $x_1 = \sum_{i=0}^{m_1} 4^i$ as a binary string of length $2m_1 + 2$ we obtain 01^{m_1+1} , i.e. the concatenation of one or more copies of the binary string $s_1 = 01$ of length 2. Thus

$$G_1 = \left\{ \llbracket s_1^{m_1+1} \rrbracket : m_1 \geq 0 \right\}.$$

Now we can compute G_2 from G_1 .

$$G_2 = \bigcup_{x_1 \in G_1} R^{-1}(x_1) = \bigcup_{m_1=0}^{\infty} R^{-1}(\llbracket s_1^{m_1+1} \rrbracket).$$

Since $x_1 = \sum_{i=0}^{m_1} 4^i \equiv m_1 + 1 \pmod{3}$ we obtain

$$G_2 = \left\{ \frac{\llbracket s_1^{3k_1+1} \rrbracket 4^{m_2+1} - 1}{3} : k_1, m_2 \geq 0 \right\} \cup \left\{ \frac{2 \llbracket s_1^{3k_1+2} \rrbracket 4^{m_2} - 1}{3} : k_1, m_2 \geq 0 \right\}.$$

Compute first

$$\frac{\llbracket s_1^3 \rrbracket}{3} = \frac{\sum_{i=0}^2 4^i}{3} = \frac{4^3 - 1}{3^2} = 7$$

and let $s_2 = 000111$ be the binary representation of 7 as a string of length 6.

A simple computation shows that $\llbracket s_1^{3k_1+1} \rrbracket / 3 = \llbracket s_2^{k_1} s_2^{[2]} \rrbracket$, where $s_2^{[2]} = 00$ is the prefix of length 2 of s_2 and that $\llbracket s_1^{3k_1+2} \rrbracket / 3 = \llbracket s_2^{k_1} s_2^{[4]} \rrbracket$, where $s_2^{[4]} = 0001$ is the prefix of length 4 of s_2 . Moreover, $\llbracket s_1^{3k_1+1} \rrbracket \pmod{3} = 1$ and $\llbracket s_1^{3k_1+2} \rrbracket \pmod{3} = 2$.

Then

$$G_2 = \left\{ \llbracket s_2^{k_1} s_2^{[2]} \rrbracket 4^{m_2+1} + \frac{4^{m_2+1} - 1}{3} : k_1, m_2 \geq 0 \right\}$$

$$\cup \left\{ 2 \llbracket s_2^{k_1} s_2^{[4]} \rrbracket 4^{m_2} + \frac{4^{m_2+1} - 1}{3} : k_1, m_2 \geq 0 \right\}$$

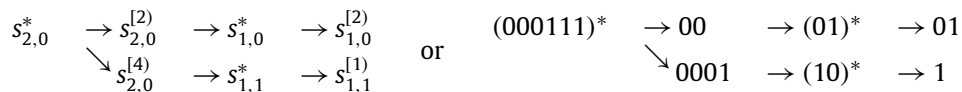
We can write $(4^{m_2+1} - 1)/3 = \sum_{i=0}^{m_2} 4^i$ in binary both as $\llbracket s_1^{m_2} s_1^{[2]} \rrbracket$ and $\llbracket s_{1,1}^{m_2} s_{1,1}^{[1]} \rrbracket$, where $s_{1,1} = 10$ is the left rotation of s_1 by 1 position.

Lengths of strings $s_1^{m_2} s_1^{[2]}$ and $s_{1,1}^{m_2} s_{1,1}^{[1]}$ are respectively $2m_2 + 2$ and $2m_2 + 1$. Thus we conclude that

$$G_2 = \left\{ \left[\left[s_{2,0}^{k_1} s_{2,0}^{[2]} s_{1,0}^{m_2} s_{1,0}^{[2]} \right] : k_1, m_2 \geq 0 \right\} \cup \left\{ \left[\left[s_{2,0}^{k_1} s_{2,0}^{[4]} s_{1,1}^{m_2} s_{1,1}^{[1]} \right] : k_1, m_2 \geq 0 \right\}$$

where, for uniformity, $s_{1,0} = s_1$ and $s_{2,0} = s_2$ (the unrotated seeds).

We can conclude that G_2 is the set of all integers whose binary representation starts with zero or more copies of $s_2 = 000111$ and continues either by the prefix $s_{2,0}^{[2]} = 00$ of s_2 followed by zero or more copies of $s_{1,0} = 01$ followed by the prefix $s_{1,0}^{[2]} = s_1 = 01$ or by the prefix $s_{2,0}^{[4]} = 0001$ followed by zero or more copies of $s_{1,1} = 10$ followed by the prefix $s_{1,1}^{[1]} = 1$. The representation of G_2 as a tree is:



where s^* means concatenation of zero or more copies of s .¹

We can compute G_3 in the same way. However it is better to use a computer program to build and print the trees for G_3 , G_4 and G_5 . The tree for G_6 is too big to be computed and printed.

The program inductively computes the tree for G_{k+1} from the tree for G_k by computing $R^{-1}(z)$ for each branch z of the tree; it is based on two mutually recursive procedures: **Div3** and **Div3Aux**.

Div3(x, r) is called with parameters a node of type $x = s_{h,d}^*$ and an integer r which is the remainder of the division by three of the ancestors of node x ($r = 0$ when the procedure is called with the root as input). The companion procedure **Div3Aux**(z, y, r) is called with parameters a node of type $y = s_{h,d}^{[\ell]}$ and an integer r which is the remainder of the division by three of the ancestors of node y . Moreover, for each node $x = s_{h,d}^*$, the procedure **Div3Aux** is called three times with, respectively, $z = s_{h,d}^i$ for $i = 0, 1, 2$.

The two procedures can be described as follows in C-like pseudo code:

```

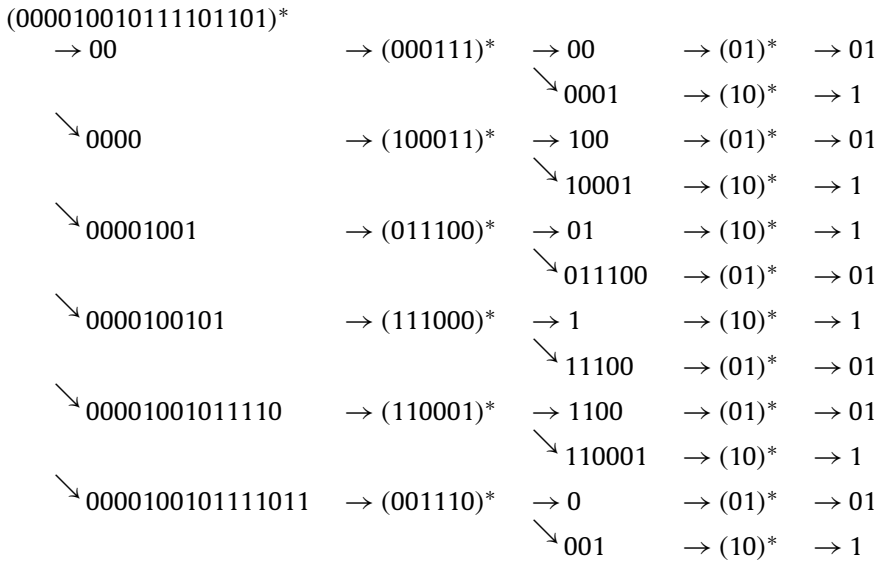
Div3(x, r) // x = s_{h,d}^*
1  w = r · s_{h,d}^3
   // w is the concatenation of the binary string for r with three copies of s_{h,d}.
2  s_{h+1,d'} = w/3 // Notice that r = w mod 3 since s_{h,d}^3 mod 3 = 0.
3  “build a new node x' with label s_{h+1,d}^*”
4  for “each son y of x”
5      for i = 0 to 2
6          y' = Div3Aux(s_{h,d}^i, y, r)
7          if y' ≠ NIL
8              “add y' as a new son of x'”
9  return x'

Div3Aux(z, y, r). // y = s_{h,d}^{[\ell]} and z = s_{h,d}^i for 0 ≤ i ≤ 2.
1  ℓ' = ℓ + length of z
2  w = r · z · s_{h,d}^{[\ell]}
3  s_{h+1,d'}^{[\ell']} = w/3
4  r' = w mod 3
5  if y is a leaf
6      if r' == 0
7          return NIL
8      else // r' == 1 or r' == 2
9          “build a new node y' with label s_{h+1,d'}^{[\ell']} ”
10         if r' == 1
11             “add to y' a single son s_{1,0}^* followed by a leaf s_{1,0}^{[2]} ”
12             else // r' == 2
13                 “add to y' a single son s_{1,1}^* followed by a leaf s_{1,1}^{[1]} ”
14         else // y is not a leaf. Let x be the son of y
15             x' = Div3(x, r')
16             “put x' as the son of y'”
17         return y'
    
```

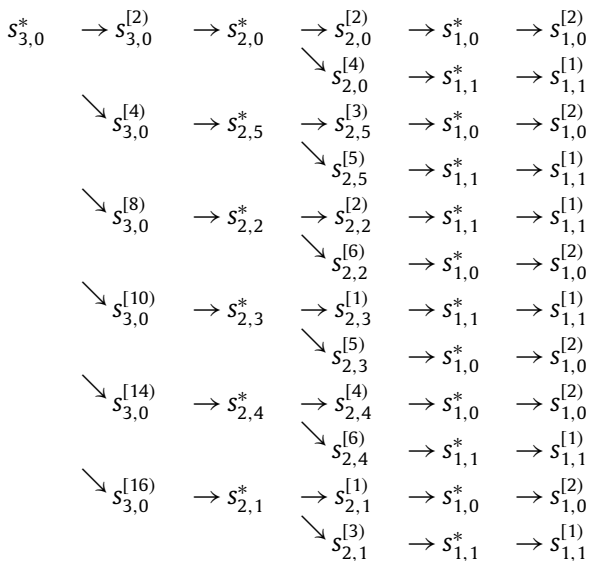
¹ The tree representation used for G_2 (and that that will be used for next classes G_k) is just the syntactic tree of a regular expression $(000111)^*[00(01)^*01 + 0001(10)^*1]$. Thus classes G_k are regular sets of strings.

Many different implementations of those procedure have been written and used, starting from a naive one written when no properties of the classes were already known and refining it as soon as more and more properties were discovered.

Here is the tree for G_3 obtained as output of the program:



Let $s_3^* = (000010010111101101)^*$ be the root. Its sons are the six prefixes $s_{3,0}^{[2]}$, $s_{3,0}^{[4]}$, $s_{3,0}^{[8]}$, $s_{3,0}^{[10]}$, $s_{3,0}^{[14]}$ and $s_{3,0}^{[16]}$, each one followed by the repetition of a different left rotation of s_2 : In order $s_{2,0}^*$, $s_{2,5}^*$, $s_{2,2}^*$, $s_{2,3}^*$, $s_{2,4}^*$ and $s_{2,1}^*$. In turn, each left rotation of s_2 is followed by two of its prefixes of different length and then by the repetition of a rotation $s_{1,0}^*$ or $s_{1,1}^*$ of s_1 followed by a prefix of the rotation. By using this notation the tree becomes



Experimental results suggest that classes G_k can be defined in terms of an infinite sequence of strings s_h of length $2 \cdot 3^{h-1}$. We call s_h seed of order h .

Indeed, we will show that for each $x \in G_k$ there exist integers q_h , d_h and ℓ_h such that

$$x = \left[s_{k,d_1}^{q_1} s_{k,d_1}^{[\ell_1]} s_{k-1,d_2}^{q_2} s_{k-1,d_2}^{[\ell_2]} \cdots s_{1,d_k}^{q_k} s_{1,d_k}^{[\ell_k]} \right]$$

where $q_h \geq 0$, $0 < \ell_h \leq 2 \cdot 3^{h-1}$, $d_1 = 0$ and, for $h > 1$, $0 \leq d_h < 2 \cdot 3^{h-2}$.

We can extend notation $s^{(\ell)}$ (the prefix of length $\ell \leq \lambda$ of a string s of length λ) to all non-negative integers n (even $n > \lambda$) by letting $s^{(n)}$ denote the prefix of length n of a sufficiently long repetition of s , i.e. if $q = \lfloor n/\lambda \rfloor$ and $\ell = n \bmod \lambda$ then $s^{(n)} = s^q s^{(\ell)}$ is the concatenation of q copies of s followed by the prefix $s^{(\ell)}$.

By using this extended notation, we can write the previous equation in a more compact form as

$$x = \left[s_{k,d_1}^{[n_1]} s_{k-1,d_2}^{[n_2]} \cdots s_{1,d_k}^{[n_k]} \right] \tag{1}$$

where $n_h = 2 \cdot 3^{h-1} q_h + \ell_h$ for $h = 1, \dots, k$.

In Section 4 the intuition coming from computational experiments is proved, i.e. that all $x \in G_k$ has the binary representation in Eq. (1).

Moreover the sequences of integers n_h, d_h such that

$$\llbracket s_{k,d_1}^{[n_1]} s_{k-1,d_2}^{[n_2]} \cdots s_{1,d_k}^{[n_k]} \rrbracket \in G_k$$

are defined, thus giving a complete characterization of classes G_k .

3. Properties of seeds

Experimental results in Section 2 suggest that seeds are binary strings s_h of length $2\lambda_h$, where $\lambda_h = 3^{h-1}$, and that seeds can be defined inductively as $s_1 = 01$ and $\llbracket s_h \rrbracket = \llbracket s_{h-1}^3 \rrbracket / 3$ for $h > 1$. The simple computation

$$\llbracket s_h \rrbracket = \frac{\llbracket s_{h-1}^3 \rrbracket}{3} = \llbracket s_{h-1} \rrbracket 4^{\lambda_{h-1}} \frac{\sum_{i=0}^2 4^i}{3} = 7 \llbracket s_{h-1} \rrbracket 4^{\lambda_{h-1}}$$

shows that s_h is well defined since $\llbracket s_{h-1}^3 \rrbracket / 3$ is an integer.

Here are some properties of seeds s_h , of rotations $s_{h,d}$ and of extended prefixes $s_h^{[n]}$.

Lemma 1 (Properties of Seeds). For all seed s_h we have

$$\llbracket s_h \rrbracket = \frac{\sum_{i=0}^{\lambda_h-1} 4^i}{\lambda_h} = \frac{4^{\lambda_h} - 1}{\lambda_{h+1}} \tag{2}$$

and

$$\llbracket s_h \rrbracket \equiv 1 \pmod{3}. \tag{3}$$

Proof. The proof is by induction. For the basis $\llbracket s_1 \rrbracket = 1 = (4^1 - 1)/3 = (4^{\lambda_1} - 1)/\lambda_2$ and $\llbracket s_1 \rrbracket \pmod{3} = 1$. For the inductive step

$$\begin{aligned} \llbracket s_h \rrbracket &= \frac{\llbracket s_{h-1}^3 \rrbracket}{3} = \frac{\sum_{i=0}^2 \llbracket s_{h-1} \rrbracket 4^{i\lambda_{h-1}}}{3} = \frac{\sum_{i=0}^2 \left(\sum_{j=0}^{\lambda_{h-1}-1} 4^j \right) 4^{i\lambda_{h-1}}}{3} \\ &= \frac{\sum_{i=0}^2 \left(\sum_{j=0}^{\lambda_{h-1}-1} 4^j \right) 4^{i\lambda_{h-1}}}{\lambda_h} = \frac{\sum_{i=0}^2 \sum_{j=0}^{\lambda_{h-1}-1} 4^{i\lambda_{h-1}+j}}{\lambda_h} \\ &= \frac{\sum_{i=0}^{\lambda_h-1} 4^i}{\lambda_h} = \frac{4^{\lambda_h} - 1}{\lambda_{h+1}} \end{aligned}$$

and

$$\llbracket s_h \rrbracket \equiv \frac{\sum_{i=0}^2 \llbracket s_{h-1} \rrbracket 4^{i\lambda_{h-1}}}{3} \equiv \llbracket s_{h-1} \rrbracket 4^{\lambda_{h-1}} 7 \equiv 1 \pmod{3}. \quad \square$$

Lemma 2 (Properties of Left Rotations of Seeds). For $0 \leq d < 2\lambda_h$

$$\llbracket s_{h,d} \rrbracket = (2^d \pmod{\lambda_{h+1}}) \llbracket s_h \rrbracket \tag{4}$$

and

$$\llbracket s_{h,d} \rrbracket \equiv 2^d \pmod{3} \tag{5}$$

and, for $0 \leq d < \lambda_h$

$$\llbracket s_{h,d} \rrbracket + \llbracket s_{h,d+\lambda_h} \rrbracket = 4^{\lambda_h} - 1 \tag{6}$$

(i.e. bits of string $s_{h,d+\lambda_h}$ are the complement of corresponding bits of $s_{h,d}$) and, finally

$$\llbracket s_{h+1,d} \rrbracket = r \frac{4^{\lambda_{h+1}} - 1}{3} + \frac{\llbracket s_{h,d'}^3 \rrbracket}{3} \tag{7}$$

where $r = \lfloor d/(2\lambda_h) \rfloor$ and $d' = d \pmod{2\lambda_h}$.

Proof. The proof for Eq. (4) is

$$\begin{aligned}
 \llbracket S_{h,d} \rrbracket &= (\llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}) 2^d + \frac{\llbracket S_h \rrbracket - \llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}}{2^{2\lambda_h-d}} \\
 &= \frac{(\llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}) 4^{\lambda_h} + \llbracket S_h \rrbracket - \llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}}{2^{2\lambda_h-d}} \\
 &= \frac{(\llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}) (4^{\lambda_h} - 1) + \llbracket S_h \rrbracket}{2^{2\lambda_h-d}} \\
 &= \frac{(\llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}) \lambda_{h+1} \llbracket S_h \rrbracket + \llbracket S_h \rrbracket}{2^{2\lambda_h-d}} \\
 &= \frac{\lambda_{h+1} (\llbracket S_h \rrbracket \bmod 2^{2\lambda_h-d}) + 1}{2^{2\lambda_h-d}} \llbracket S_h \rrbracket \\
 &= \frac{\lambda_{h+1} \left(\frac{4^{\lambda_h} - 1}{\lambda_{h+1}} \bmod 2^{2\lambda_h-d} \right) + 1}{2^{2\lambda_h-d}} \llbracket S_h \rrbracket \\
 &= \frac{(4^{\lambda_h} - 1) \bmod \lambda_{h+1} 2^{2\lambda_h-d} + 1}{2^{2\lambda_h-d}} \llbracket S_h \rrbracket \\
 &= \frac{2^{2\lambda_h} \bmod \lambda_{h+1} 2^{2\lambda_h-d}}{2^{2\lambda_h-d}} \llbracket S_h \rrbracket \\
 &= \frac{2^{2\lambda_h-d} 2^d \bmod \lambda_{h+1} 2^{2\lambda_h-d}}{2^{2\lambda_h-d}} \llbracket S_h \rrbracket \\
 &= \frac{2^{2\lambda_h-d} (2^d \bmod \lambda_{h+1})}{2^{2\lambda_h-d}} \llbracket S_h \rrbracket \\
 &= (2^d \bmod \lambda_{h+1}) \llbracket S_h \rrbracket.
 \end{aligned}$$

The proof for Eq. (5) is

$$\llbracket S_{h,d} \rrbracket \equiv \llbracket S_h \rrbracket (2^d \bmod \lambda_{h+1}) \equiv 2^d \pmod{3}.$$

We can prove Eq. (6) only for $d = 0$: The cases of $1 \leq d < \lambda_h$ are a simple consequence since rotations do not change the pairs of bits at a distance λ_h from each other.

$$\begin{aligned}
 \llbracket S_{h,0} \rrbracket &= \llbracket S_h \rrbracket = \frac{4^{\lambda_h} - 1}{\lambda_{h+1}} = \frac{2^{\lambda_h} + 1}{\lambda_{h+1}} (2^{\lambda_h} - 1) \\
 &= \left(\frac{2^{\lambda_h} + 1}{\lambda_{h+1}} - 1 \right) 2^{\lambda_h} + 2^{\lambda_h} - \frac{2^{\lambda_h} + 1}{\lambda_{h+1}} = \llbracket s \rrbracket 2^{\lambda_h} + \llbracket s' \rrbracket
 \end{aligned}$$

where s, s' are the binary string of length λ_h such that

$$\llbracket s \rrbracket = \frac{2^{\lambda_h} + 1}{\lambda_{h+1}} - 1 \quad \text{and} \quad \llbracket s' \rrbracket = 2^{\lambda_h} - \frac{2^{\lambda_h} + 1}{\lambda_{h+1}}.$$

Then

$$\begin{aligned}
 \llbracket S_{h,\lambda_h} \rrbracket &= \llbracket s' \rrbracket 2^{\lambda_h} + \llbracket s \rrbracket = \left(2^{\lambda_h} - \frac{2^{\lambda_h} + 1}{\lambda_{h+1}} \right) 2^{\lambda_h} + \frac{2^{\lambda_h} + 1}{\lambda_{h+1}} - 1 \\
 &= 4^{\lambda_h} - 1 - \frac{2^{\lambda_h} + 1}{\lambda_{h+1}} (2^{\lambda_h} - 1) = 4^{\lambda_h} - 1 - \llbracket S_{h,0} \rrbracket.
 \end{aligned}$$

Finally, by Eq. (7), $2^d \equiv 2^d \pmod{\lambda_{h+1}}$ and $\left\lfloor \frac{2^d \bmod \lambda_{h+2}}{\lambda_{h+1}} \right\rfloor = r$ (by the isomorphism of $\mathbb{Z}_{2\lambda_h}^+$ and $\mathbb{Z}_{\lambda_{h+1}}^*$). Thus

$$2^d \bmod \lambda_{h+2} = \left\lfloor \frac{2^d \bmod \lambda_{h+2}}{\lambda_{h+1}} \right\rfloor \lambda_{h+1} + (2^d \bmod \lambda_{h+2}) \bmod \lambda_{h+1} = r \lambda_{h+1} + 2^d \bmod \lambda_{h+1}$$

and

$$\begin{aligned}
 \llbracket s_{h+1,d} \rrbracket &= (2^d \bmod \lambda_{h+2}) \llbracket s_{h+1} \rrbracket \quad (\text{by Eq. (4)}) \\
 &= (r\lambda_{h+1} + 2^{d'} \bmod \lambda_{h+1}) \llbracket s_{h+1} \rrbracket \\
 &= (r\lambda_{h+1} + 2^{d'} \bmod \lambda_{h+1}) \llbracket s_h^3 \rrbracket / 3 \\
 &= (r\lambda_{h+1} + 2^{d'} \bmod \lambda_{h+1}) \llbracket s_h \rrbracket \frac{\sum_{i=0}^2 4^{i\lambda_h}}{3} \\
 &= (r(4^{\lambda_h} - 1) + \llbracket s_{h,d'} \rrbracket) \frac{\sum_{i=0}^2 4^{i\lambda_h}}{3} \\
 &= r \frac{4^{\lambda_{h+1}} - 1}{3} + \frac{\llbracket s_{h,d'}^3 \rrbracket}{3}. \quad \square
 \end{aligned}$$

Lemma 3 (Properties of Extensions of Seeds). For $n > 0, h > 0$ and $q = \lfloor n/(2\lambda_h) \rfloor, \ell = n \bmod 2\lambda_h$

$$\llbracket s_h^{[n]} \rrbracket = \left\lfloor \frac{2^n}{\lambda_{h+1}} \right\rfloor \tag{8}$$

$$\llbracket s_{h+1}^{[n]} \rrbracket = \left\lfloor \llbracket s_h^{[n]} \rrbracket / 3 \right\rfloor \tag{9}$$

$$\llbracket s_h^{[n]} \rrbracket \equiv q2^\ell + \llbracket s_h^{[\ell]} \rrbracket \pmod{3}. \tag{10}$$

Moreover, for $0 \leq d < \lambda_{h+1}$ and $r = \lfloor d/(2\lambda_h) \rfloor, d' = d \bmod 2\lambda_h$

$$\llbracket s_{h+1,d}^{[n]} \rrbracket = \left\lfloor \frac{r2^n + \llbracket s_{h,d'}^{[n]} \rrbracket}{3} \right\rfloor. \tag{11}$$

Proof. The proof of Eq. (8) is by induction on q . For the basis $q = 0$ and $n = \ell < 2\lambda_h$

$$\llbracket s_h^{[\ell]} \rrbracket = \left\lfloor \frac{4^{\lambda_h} - 1}{\lambda_{h+1} 2^{2\lambda_h - \ell}} \right\rfloor = \left\lfloor \frac{2^\ell}{\lambda_{h+1}} - \frac{2^\ell}{\lambda_{h+1} 2^{2\lambda_h}} \right\rfloor = \left\lfloor \frac{2^\ell}{\lambda_{h+1}} \right\rfloor$$

where the last equality follows from

$$\frac{2^\ell}{\lambda_{h+1} 2^{2\lambda_h}} < \frac{1}{\lambda_{h+1}} \leq \frac{2^\ell}{\lambda_{h+1}} - \left\lfloor \frac{2^\ell}{\lambda_{h+1}} \right\rfloor.$$

For the inductive step let $n' = n - 2\lambda_h$. Then

$$\llbracket s_h^{[n]} \rrbracket = \llbracket s_h \rrbracket 2^{n'} + \llbracket s_h^{[n']} \rrbracket = \frac{4^{\lambda_h} - 1}{\lambda_{h+1}} 2^{n'} + \left\lfloor \frac{2^{n'}}{\lambda_{h+1}} \right\rfloor = \left\lfloor \frac{2^{2\lambda_h} - 1}{\lambda_{h+1}} 2^{n'} + \frac{2^{n'}}{\lambda_{h+1}} \right\rfloor = \left\lfloor \frac{2^n}{\lambda_{h+1}} \right\rfloor.$$

For Eq. (9) let $k = \lceil n/(2\lambda_{h+1}) \rceil$. Then

$$\llbracket s_{h+1}^{[n]} \rrbracket = \llbracket (s_{h+1}^k)^{[n]} \rrbracket = \left\lfloor \frac{\llbracket s_{h+1}^k \rrbracket}{2^{k2\lambda_{h+1}-n}} \right\rfloor = \left\lfloor \frac{\llbracket s_h^{3k} \rrbracket}{3 \cdot 2^{3k2\lambda_h-n}} \right\rfloor = \left\lfloor \llbracket s_h^{[n]} \rrbracket / 3 \right\rfloor$$

where the last equality holds because $\llbracket s_h^{3k} \rrbracket \bmod 3 = 0$.

For Eq. (10)

$$\llbracket s_h^{[n]} \rrbracket \equiv \llbracket s_h^q \rrbracket 2^\ell + \llbracket s_h^{[\ell]} \rrbracket \equiv q2^\ell + \llbracket s_h^{[\ell]} \rrbracket \pmod{3}$$

where the last equality holds because $\llbracket s_h^q \rrbracket \equiv q \pmod{3}$.

Finally, for Eq. (11), let $k = \lceil n/(2\lambda_{h+1}) \rceil$ so that $\llbracket S_{h+1,d}^{[n]} \rrbracket = \llbracket (S_{h+1,d}^k)^{[n]} \rrbracket$. Then

$$\begin{aligned} \llbracket S_{h+1,d}^k \rrbracket &= \sum_{i=0}^{k-1} \llbracket S_{h+1,d} \rrbracket 2^{2\lambda_{h+1}i} \\ &= \sum_{i=0}^{k-1} \left(r \frac{4^{\lambda_{h+1}i} - 1}{3} + \frac{\llbracket S_{h,d'}^{3k} \rrbracket}{3} \right) 2^{2\lambda_{h+1}i} \quad (\text{by Eq. (7)}) \\ &= r \frac{4^{k\lambda_{h+1}} - 1}{3} + \frac{\llbracket S_{h,d'}^{3k} \rrbracket}{3} \end{aligned}$$

and

$$\begin{aligned} \llbracket (S_{h+1,d}^k)^{[n]} \rrbracket &= \left\lfloor \frac{2^n}{2^{2k\lambda_{h+1}}} \left(r \frac{4^{k\lambda_{h+1}} - 1}{3} + \frac{\llbracket S_{h,d'}^{3k} \rrbracket}{3} \right) \right\rfloor \\ &= \left\lfloor \frac{2^n}{2^{2k\lambda_{h+1}}} \left(r \left\lfloor \frac{4^{k\lambda_{h+1}}}{3} \right\rfloor + \frac{\llbracket S_{h,d'}^{3k} \rrbracket}{3} \right) \right\rfloor \\ &= \left\lfloor \frac{2^n}{2^{2k\lambda_{h+1}}} \left\lfloor \frac{r4^{k\lambda_{h+1}} + \llbracket S_{h,d'}^{3k} \rrbracket}{3} \right\rfloor \right\rfloor \\ &= \left\lfloor \frac{2^n}{2^{2k\lambda_{h+1}}} \frac{r4^{k\lambda_{h+1}} + \llbracket S_{h,d'}^{3k} \rrbracket}{3} \right\rfloor \\ &= \left\lfloor \frac{1}{3} \left(r2^n + \frac{2^n \llbracket S_{h,d'}^{3k} \rrbracket}{2^{2k\lambda_{h+1}}} \right) \right\rfloor \\ &= \left\lfloor \frac{r2^n + \llbracket S_{h,d'}^{3k} \rrbracket}{3} \right\rfloor. \quad \square \end{aligned}$$

4. Convergence classes

The experimental results in Paragraph 1 suggest that each $x \in G_k$ has the binary representation given by Eq. (1), for some integers n_i, d_i ($1 \leq i \leq k$).

Here we characterize integers n_i and d_i such that the x given by Eq. (1) is in G_k . We do so by defining a *scheme* \mathcal{S}_k which is a set of lengths $n_i > 0$ and left rotations $d_{h,i}$ (for $1 \leq i \leq h \leq k$).

Definition 1 (Scheme \mathcal{S}_k for G_k). A scheme \mathcal{S}_1 for G_1 is given by the rotation $d_{1,1} = 0$ and an even length $n_1 \equiv 0 \pmod{2}$. For $k > 1$ the lengths $n_i > 0$ and left rotations $d_{h,i}$ of a scheme \mathcal{S}_k are defined by mutual induction by

- (a) $n_1 \equiv \pm 2 \pmod{6}$,
- (b) $n_i \equiv r_{i-1,i-1}(5 - 2[r_{i-1,i-1} - r_{i,i-1}]) \pm 1 \pmod{6}$, for $2 \leq i < k$
- (c) $n_k \equiv r_{k-1,k-1} - 1 \pmod{2}$
- (d) $d_{h,1} = 0$, for $1 \leq h \leq k$,
- (e) $d_{h,i} = d_{h-1,i} + r_{h-1,i-1}2\lambda_{h-i-1}$, for $2 \leq i < h \leq k$
- (f) $d_{h,h} = r_{h-1,h-1} - 1$, for $2 \leq h \leq k$

where $r_{h,i} = \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{h-i+1,d_{h,i}}^{[n_i]} \rrbracket \pmod{3}$.

Lemma 4. Let \mathcal{S}_k a scheme for G_k . Then $r_{h,h} \neq 0$ for $1 \leq h < k$.

Proof. By induction on h . For the basis $r_{1,1} = \llbracket s_{1,d_{1,1}}^{[n_1]} \rrbracket \pmod{3}$ and

$$\llbracket s_{1,d_{1,1}}^{[n_1]} \rrbracket \equiv \llbracket s_1^{[n_1]} \rrbracket \equiv \llbracket s_1^{n_1/2} \rrbracket \equiv n_1/2 \pmod{3}.$$

Then $r_{1,1} \neq 0$ since $n_1 \equiv \pm 2 \pmod{6}$.

Let $h > 1$ and assume $r_{h-1,h-1} \neq 0$. Then

$$\begin{aligned} r_{h,h} &\equiv \left[\left[s_{h,d_{h,1}}^{[n_1]} \dots s_{1,d_{h,h}}^{[n_h]} \right] \right] \pmod{3} \\ &\equiv r_{h,h-1} 2^{n_h} + \left[\left[s_{1,d_{h,h}}^{[n_h]} \right] \right] \pmod{3} \\ &\equiv r_{h,h-1} r_{h-1,h-1} + \left[\left[s_{1,r_{h-1,h-1}-1}^{[n_h]} \right] \right] \pmod{3}. \end{aligned}$$

If $r_{h-1,h-1} = 1$ then $n_h = 2m$ is even and

$$\begin{aligned} r_{h,h} &\equiv r_{h,h-1} + \left[\left[s_1^{[n_h]} \right] \right] \pmod{3} \\ &\equiv r_{h,h-1} + \left[\left[s_1^m \right] \right] \pmod{3} \\ &\equiv r_{h,h-1} + m \pmod{3} \end{aligned}$$

and so $r_{h,h} \neq 0$ iff

$$m + r_{h,h-1} \not\equiv 0 \pmod{3}$$

$$n_h + 2r_{h,h-1} \not\equiv 0 \pmod{3}$$

$$n_h \not\equiv r_{h,h-1} \pmod{3}.$$

If $r_{h-1,h-1} = 2$ then $n_h = 2m + 1$ is odd and

$$\begin{aligned} r_{h,h} &\equiv 2r_{h,h-1} + \left[\left[s_{1,1}^{[n_h]} \right] \right] \pmod{3} \\ &\equiv 2r_{h,h-1} + \left[\left[s_1^{m+1} \right] \right] \pmod{3} \\ &\equiv 2r_{h,h-1} + m + 1 \pmod{3} \end{aligned}$$

and so $r_{h,h} \neq 0$ iff

$$m + 1 + 2r_{h,h-1} \not\equiv 0 \pmod{3}$$

$$n_h + 1 + r_{h,h-1} \not\equiv 0 \pmod{3}$$

$$n_h \not\equiv 2(r_{h,h-1} + 1) \pmod{3}.$$

In both cases

$$n_h \not\equiv r_{h-1,h-1}(r_{h-1,h-1} + r_{h,h-1} - 1) \pmod{3}.$$

Thus n_h satisfy the congruences

$$n_h \equiv r_{h-1,h-1} - 1 \pmod{2}$$

and either

$$n_h \equiv 1 + r_{h-1,h-1}(r_{h-1,h-1} + r_{h,h-1} - 1) \pmod{3}$$

or

$$n_h \equiv 2 + r_{h-1,h-1}(r_{h-1,h-1} + r_{h,h-1} - 1) \pmod{3}.$$

Using the Chinese Remainder Theorem, we can obtain in the former case

$$\begin{aligned} n_h &\equiv 3(r_{h-1,h-1} - 1) - 2[1 + r_{h-1,h-1}(r_{h-1,h-1} + r_{h,h-1} - 1)] \pmod{6} \\ &\equiv r_{h-1,h-1}[5 - 2(r_{h-1,h-1} + r_{h,h-1})] + 1 \pmod{6} \end{aligned}$$

and in the latter case

$$\begin{aligned} n_h &\equiv 3(r_{h-1,h-1} - 1) - 2[2 + r_{h-1,h-1}(r_{h-1,h-1} + r_{h,h-1} - 1)] \pmod{6} \\ &\equiv r_{h-1,h-1}[5 - 2(r_{h-1,h-1} + r_{h,h-1})] - 1 \pmod{6}. \end{aligned}$$

Then $r_{h,h} \neq 0$ iff

$$n_h \equiv r_{h-1,h-1}[5 - 2(r_{h-1,h-1} - r_{h,h-1})] \pm 1 \pmod{6}$$

and the later is true by definition of \mathcal{S}_k . \square

Lemma 5. Let $k > 1$ and \mathcal{S}_k a scheme for G_k . Then for all $h > 1$

$$\left[\left[s_{h,d_{h,1}}^{[n_1]} \dots s_{2,d_{h,h-1}}^{[n_{h-1}]} \right] \right] = \left\lfloor \left[\left[s_{h-1,d_{h-1,1}}^{[n_1]} \dots s_{1,d_{h-1,h-1}}^{[n_{h-1}]} \right] \right] / 3 \right\rfloor.$$

Proof. We will prove, by induction on $i = 1, \dots, h - 1$, the more general equation

$$\llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{h-i+1,d_{h,i}}^{[n_i]} \rrbracket = \left\lfloor \llbracket s_{h-1,d_{h-1,1}}^{[n_1]} \cdots s_{h-i,d_{h-1,i}}^{[n_i]} \rrbracket / 3 \right\rfloor.$$

For the basis $i = 1, d_{h,1} = d_{h-1,1} = 0$ and Eq. (9) gives

$$\llbracket s_{h,d_{h,1}}^{[n_1]} \rrbracket = \llbracket s_h^{[n_1]} \rrbracket = \left\lfloor \llbracket s_{h-1}^{[n_1]} \rrbracket / 3 \right\rfloor = \left\lfloor \llbracket s_{h-1,d_{h-1,1}}^{[n_1]} \rrbracket / 3 \right\rfloor.$$

For $i > 1$, by applying the inductive hypothesis, we can obtain

$$\begin{aligned} \llbracket s_{h-1,d_{h-1,1}}^{[n_1]} \cdots s_{h-i,d_{h-1,i}}^{[n_i]} \rrbracket / 3 &= \left\lfloor \llbracket s_{h-1,d_{h-1,1}}^{[n_1]} \cdots s_{h-i-1,d_{h-1,i-1}}^{[n_{i-1}]} \rrbracket / 3 \right\rfloor 2^{n_i} + \left(r_{h-1,i-1} 2^{n_i} + \llbracket s_{h-i,d_{h-1,i}}^{[n_i]} \rrbracket \right) / 3 \\ &= \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{h-i,d_{h,i-1}}^{[n_{i-1}]} \rrbracket 2^{n_i} + \left(r_{h-1,i-1} 2^{n_i} + \llbracket s_{h-1,d_{h-i,i}}^{[n_i]} \rrbracket \right) / 3 \end{aligned}$$

and then, by using Formula (11),

$$\begin{aligned} \left\lfloor \llbracket s_{h-1,d_{h-1,1}}^{[n_1]} \cdots s_{h-i,d_{h-1,i}}^{[n_i]} \rrbracket / 3 \right\rfloor &= \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{h-i,d_{h,i-1}}^{[n_{i-1}]} \rrbracket 2^{n_i} + \left\lfloor \left(r_{h-1,i-1} 2^{n_i} + \llbracket s_{h-1,d_{h-i,i}}^{[n_i]} \rrbracket \right) / 3 \right\rfloor \\ &= \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{h-i,d_{h,i-1}}^{[n_{i-1}]} \rrbracket 2^{n_i} + \llbracket s_{h,d_{h-i+1,i}}^{[n_i]} \rrbracket = \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{h-i+1,d_{h,i}}^{[n_i]} \rrbracket. \quad \square \end{aligned}$$

Lemma 6. Let \mathcal{S}_k be a scheme for G_k and, for $1 \leq h \leq k$, let $x_h = \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{1,d_{h,h}}^{[n_h]} \rrbracket$. Then $x_h \in G_h$.

Proof. The proof is by induction on h . For the base case $h = 1, n_1$ is even and

$$x_1 = \llbracket s_{1,d_{1,1}}^{[n_1]} \rrbracket = \llbracket s_{1,0}^{[2m+2]} \rrbracket = \llbracket s_1^{m+1} \rrbracket \in G_1.$$

For $h > 1$ we can prove

$$x_h = \frac{x_{h-1} 2^{n_h} - 1}{3} \in R^{-1}(x_{h-1}) \subseteq G_h.$$

Indeed, by applying the inductive hypothesis, we can obtain

$$\begin{aligned} \frac{x_{h-1} 2^{n_h} - 1}{3} &= \frac{(3 \lfloor \frac{x_{h-1}}{3} \rfloor + r_{h-1,h-1}) 2^{n_h} - 1}{3} \\ &= \left\lfloor \frac{x_{h-1}}{3} \right\rfloor 2^{n_h} + \frac{r_{h-1,h-1} 2^{n_h} - 1}{3} \\ &= \left\lfloor \frac{x_{h-1}}{3} \right\rfloor 2^{n_h} + \llbracket s_{1,d_{h,h}}^{[n_h]} \rrbracket \\ &= \left\lfloor \llbracket s_{h-1,d_{h-1,1}}^{[n_1]} \cdots s_{1,d_{h-1,h-1}}^{[n_{h-1}]} \rrbracket / 3 \right\rfloor 2^{n_h} + \llbracket s_{1,d_{h,h}}^{[n_h]} \rrbracket \\ &= \llbracket s_{h,d_{h,1}}^{[n_1]} \cdots s_{2,d_{h,h-1}}^{[n_{h-1}]} \rrbracket 2^{n_h} + \llbracket s_{1,d_{h,h}}^{[n_h]} \rrbracket \\ &= x_h. \quad \square \end{aligned}$$

Lemma 7. For all $x \in G_k$ there is a scheme \mathcal{S}_k such that $x = \llbracket s_{k,d_{k,1}}^{[n_1]} \cdots s_{1,d_{k,k}}^{[n_k]} \rrbracket$.

Proof. The proof is by induction on k . For the base case $k = 1$ the proof is straightforward:

$$G_1 = \left\{ \llbracket s_1^{m+1} \rrbracket : m \geq 0 \right\} = \left\{ \llbracket s_{1,0}^{[2m+2]} \rrbracket : m \geq 0 \right\}$$

and so $x = \llbracket s_{1,0}^{[2m+2]} \rrbracket$ for some $m \geq 0$. Then, choosing \mathcal{S}_k with $n_1 = 2m + 2$ and $d_{1,1} = 0$, we obtain $x = \llbracket s_{1,d_{1,1}}^{[n_1]} \rrbracket$.

Let $k > 1$ and let $y \in G_{k-1}$ such that $x \in R^{-1}(y)$.

By the inductive hypothesis there is a scheme \mathcal{S}_{k-1} such that

$$y = \llbracket s_{k-1,d_{k-1,1}}^{[n_1]} \cdots s_{1,d_{k-1,k-1}}^{[n_{k-1}]} \rrbracket.$$

Moreover $y \bmod 3 \neq 0$ and

$$x = (y 2^n - 1) / 3$$

where, for some $m \geq 0, n = 2m + 2$ if $y \bmod 3 = 1$ and $n = 2m + 1$ if $y \bmod 3 = 2$.

We can extend \mathcal{S}_{k-1} to \mathcal{S}_k by setting $n_k = n, d_{k,1} = 0, d_{k,i} = d_{k-1,i} + r_{k-1,i-1} 2^{\lambda_{k-i-1}}$, for $2 \leq i < k$, and $d_{k,k} = r_{k-1,k-1} - 1$.

Then $x = \llbracket s_{k,d_{k,1}}^{[n_1]} \cdots s_{1,d_{k,k}}^{[n_k]} \rrbracket$ and $x \in G_k$ by the previous lemma. \square

Theorem 1 (Structure of Convergence Classes). $x \in G_k$ iff there exists a scheme \mathcal{S}_k for G_k such that

$$x = \left[\left[S_{k,d_{k,1}}^{[n_1]} \dots S_{1,d_{k,k}}^{[n_k]} \right] \right]. \tag{12}$$

Proof. Immediate from the last two lemmas. \square

Given a scheme \mathcal{S}_k we can compute the corresponding $x \in G_k$ by Formula (12). In the reverse direction, given $x \in G_k$ we can compute the corresponding scheme \mathcal{S}_k as follows. Let $x_k = x$ and, for $h = k - 1, \dots, 1$, compute $x_h = R(x_{h+1})$ and take as n_k, n_{k-1}, \dots, n_1 the exponents of the power of 2 at the denominators in $R(x_{h+1})$. We can easily prove that this sequence of lengths satisfy points (a), (b) and (c) of the definition of a scheme. Then we can use points (d), (e) and (f) to compute rotations $d_{h,i}$.

For example, for $x = 27 \in G_{41}$ we obtain

i	1	2	3	4	5	6	7	8	9	10
n_i	4	5	1	1	3	4	2	2	4	1
$d_{k,i}$	0	11	107	71	47	122	650	866	1154	6155
i	11	12	13	14	15	16	17	18	19	20
n_i	1	1	3	1	1	1	1	1	2	1
$d_{k,i}$	4103	2735	1823	4859	3239	2159	1439	959	638	851
i	21	22	23	24	25	26	27	28	29	30
n_i	2	1	1	3	2	1	1	1	2	1
$d_{k,i}$	755	566	503	335	890	1187	791	527	350	467
i	31	32	33	34	35	36	37	38	39	40
n_i	1	2	1	2	2	1	1	1	1	2
$d_{k,i}$	311	206	275	182	242	323	53	35	5	2
i	41									
n_i	1									
$d_{k,i}$	1									

Notice that $s_{k,d_{k,i}}^{[n_i]} = 0^{n_i}$ but for $s_{k,d_{k,39}}^{[n_{39}]} = 00011$, $s_{k,d_{k,40}}^{[n_{40}]} = 01$ and $s_{k,d_{k,41}}^{[n_{41}]} = 1$.

A final implementation of procedures Div3 and Div3Aux based on the scheme \mathcal{S}_k (with a nice graphical interface) is described in [8] (in Italian).

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