# Generalization of Neural Complexity to Dynamical Systems 

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## Motivation

Two viewpoints
Contrasting viewpoints of brain organization in higher vertebrates:

1. Emphasis on specificity and modularity (functional segregation)
2. Emphasis on global functions and mass actions (integration in perception and behavior)


## Neural Complexity (G. Edelman, O. Sporns, G. Tononi, 1994)

- Neither view alone adequately accounts for interactions that occur during brain activity.
- So they propose a general measure that encompasses these fundamental aspects of brain organization.
- High values are associated with non-trivial organization of the network. This is the case when segregation coexists with integration.
- Low values are associated with systems that are either completely independent (segregated, disordered) or completely dependent (integrated, ordered).


## Mutual Information

Entropy of a random variable $X$ taking values in a discrete set $E$ :

$$
H(X)=-\sum_{x \in E} \operatorname{Pr}\{X=x\} \log \operatorname{Pr}\{X=x\}
$$

Mutual information between random variables $X$ and $Y$ over the same probability space:

$$
\begin{aligned}
M I(X, Y) & =H(X)+H(Y)-H(X, Y) \\
& =H(X)-H(X \mid Y)=H(Y)-H(Y \mid X)
\end{aligned}
$$

- $\operatorname{MI}(X, Y)$ is a measure of how much $Y$ tells about $X$ (equivalently, how much $X$ tells about $Y$ )
- $\operatorname{MI}(X, Y)=0 \Leftrightarrow X$ and $Y$ are independent

Some notation:

- $n^{*}=\{0,1 \ldots, n-1\}$
- $X=\left\{X_{i}: i \in n^{*}\right\}$ a family of random variables representing an isolated neural system with $n$ elementary components (neuronal groups)
- For $S \subset n^{*}, X_{S}=\left\{X_{i}: i \in S\right\}$
- $S^{c}=n^{*} \backslash S$.


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## Neural Complexity, $C_{N}$

Average of mutual information over subfamilies of a family of random variables

$$
C_{N}(X)=\frac{1}{n+1} \sum_{S \subset n^{*}} \frac{1}{\binom{n}{|S|}} M I\left(X_{S}, X_{S^{c}}\right) .
$$

## Intricacy (J. Buzzi, L. Zambotti, 2009)

- Give a general probabilisitic representation of neural complexity.
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System of coefficients
A system of coefficients, $c_{S}^{n}$, is a family of numbers satisfying for all $n \in \mathbb{N}$ and $S \subset n^{*}$

1. $c_{S}^{n} \geqslant 0$;
2. $\sum_{S \subset n^{*}} C_{S}^{n}=1$;
3. $c_{S^{c}}^{n}=c_{S}^{n}$.

## Mutual information functional

- For a fixed $n \in \mathbb{N}$ let $X=\left\{X_{i}: i \in n^{*}\right\}$ be a collection of random variables all taking values in the same finite set.
- Given a system of coefficients, $c_{S}^{n}$, the corresponding mutual information functional, $\mathcal{J}^{\mathcal{C}}(X)$ is defined by

$$
\mathcal{J}^{c}(X)=\sum_{S \subset n^{*}} c_{S}^{n} M I\left(X_{S}, X_{S^{c}}\right)
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## Intricacy

An intricacy is a mutual information functional satisfying:

1. Exchangeability: invariance by permutations of $n$;
2. Weak additivity: $\mathcal{J}^{\mathcal{C}}(X, Y)=\mathcal{J}^{\mathcal{C}}(X)+\mathcal{J}^{\mathcal{C}}(Y)$ for any two independent systems $X=\left\{X_{i}: i \in n^{*}\right\}$ and $Y=\left\{Y_{j}: j \in m^{*}\right\}$.

## Theorem (Buzzi, Zambotti)

Let $c_{S}^{n}$ be a system of coefficients and $\mathrm{J}^{c}$ the associated mutual information functional. $\mathrm{J}^{c}$ is an intricacy if and only if there exists a symmetric probability measure $\lambda_{c}$ on $[0,1]$ such that

$$
c_{S}^{n}=\int_{[0,1]} x^{|S|}(1-x)^{n-|S|} \lambda_{c}(d x)
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## Theorem (Buzzi, Zambotti)

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$$

## Example

1. $c_{S}^{n}=\frac{1}{(n+1)} \frac{1}{\binom{n}{|S|}}$ (Edelman-Sporns-Tononi);
2. For $0<p<1$,

$$
c_{S}^{n}=\frac{1}{2}\left(p^{|S|}(1-p)^{n-|S|}+(1-p)^{|S|} p^{n-|S|}\right)(p \text {-symmetric }) ;
$$

3. For $p=1 / 2, c_{S}^{n}=2^{-n}$ (uniform).

Topological dynamical system, $(X, T)$

- $X$ a compact Hausdorff (often metric) space;
- $T: X \rightarrow X$ a homeomorphism.

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Definition (Adler, Konheim, McAndrew, 1965)
The topological entropy of $(X, T)$ is defined by

$$
h_{\text {top }}(X, T)=\sup _{\mathcal{U}} \lim _{n \rightarrow \infty} \frac{1}{n} \log N\left(\mathcal{U} \vee T^{-1} \mathcal{U} \vee \cdots \vee T^{-n+1} \mathcal{U}\right) .
$$

Topological entropy is a measure of the amount of randomness or disorder in a system.

Let $(X, T)$ be a topological dynamical system and $\mathcal{U}$ an open cover of $X$. Given $n \in \mathbb{N}$ and a subset $S \subset n^{*}$ define

$$
\mathcal{U}_{S}=\bigvee_{i \in S} T^{-i} \mathcal{U}
$$

## Definition (P-W)

Let $c_{S}^{n}$ be a system of coefficients. Define the topological intricacy of $(X, T)$ with respect to the open cover $U$ to be

$$
\operatorname{lnt}(X, \mathcal{U}, T):=\lim _{n \rightarrow \infty} \frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n} \log \left(\frac{N\left(\mathcal{U}_{S}\right) N\left(\mathcal{U}_{S^{c}}\right)}{N\left(\mathcal{U}_{n^{*}}\right)}\right)
$$

$\operatorname{Int}(X, \mathcal{U}, T)=2 \operatorname{Asc}(X, \mathcal{U}, T)-h_{\text {top }}(X, \mathcal{U}, T)$.

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Definition (P-W)
The topological average sample complexity of $T$ with respect to the open cover $\mathcal{U}$ is defined to be

$$
\operatorname{Asc}(X, \mathcal{U}, T):=\lim _{n \rightarrow \infty} \frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n} \log N\left(U_{S}\right)
$$

Theorem
The limits in the definitions of $\operatorname{Int}(X, \mathcal{U}, T)$ and $\operatorname{Asc}(X, \mathcal{U}, T)$ exist. The proof is based on subadditivity of the sequence

$$
b_{n}:=\sum_{S \subset n^{*}} c_{S}^{n} \log N\left(U_{S}\right)
$$

and Fekete's Subadditive Lemma: for every subadditive sequence $a_{n}$, the limit $\lim _{n \rightarrow \infty} a_{n} / n$ exists and is equal to $\inf _{n} a_{n} / n$.

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## Proposition

For each open cover $\mathcal{U}$, $\operatorname{Asc}(X, \mathcal{U}, T) \leqslant h_{\text {top }}(X, \mathcal{U}, T) \leqslant h_{\text {top }}(X, T)$, and hence $\operatorname{lnt}(X, \mathcal{U}, T) \leqslant h_{\text {top }}(X, \mathcal{U}, T) \leqslant h_{\text {top }}(X, T)$.
In particular, a dynamical system with zero (or relatively low) topological entropy (integrated, ordered) has zero (or relatively low) topological intricacy.

## Definition

For $r \in \mathbb{N}$ consider the finite set $\mathcal{A}=\{0,1, \ldots r-1\}$. We call $\mathcal{A}$ an alphabet and give it the discrete topology. The (two-sided) full shift space, $\Sigma(\mathcal{A})$, is defined as

$$
\Sigma(\mathcal{A})=\mathcal{A}^{\mathbb{Z}}=\left\{x=\left(x_{i}\right)_{-\infty}^{\infty}: x_{i} \in \mathcal{A} \text { for each } i\right\}
$$

and is given the product topology. The shift transformation $\sigma: \Sigma(\mathcal{A}) \rightarrow \Sigma(\mathcal{A})$ is defined by

$$
(\sigma x)_{i}=x_{i+1} \quad \text { for }-\infty<i<\infty,
$$

Definition
A subshift is a pair $(X, \sigma)$ where $X \subset \Sigma(\mathcal{A})$ is a nonempty, closed, shift-invariant $(\sigma X=X)$ set.

## Definition

A block or word is an element of $\mathcal{A}^{k}$ for $k=0,1,2 \ldots$, i.e. a finite string on the alphabet $\mathcal{A}$.
Denote the set of words of length $n$ in a subshift $X$ by $\mathcal{L}_{n}(X)$.

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Denote the set of words of length $n$ in a subshift $X$ by $\mathcal{L}_{n}(X)$.
For a subset $S \subset n^{*}, S=\left\{s_{0}, s_{1}, \ldots, s_{|S|-1}\right\}$, denote the set of words we can see at the places in $S$ for all words in $\mathcal{L}_{n}(X)$ by $\mathcal{L}_{S}(X)$,

$$
\mathcal{L}_{S}(X)=\left\{w_{s_{0}} w_{s_{1}} \ldots w_{s_{|S|-1}}: w=w_{0} w_{1} \ldots w_{n-1} \in \mathcal{L}_{n}(X)\right\} .
$$

Notice $\mathcal{L}_{n^{*}}(X)=\mathcal{L}_{n}(X)$.

## Definition

- A shift of finite type (SFT) is defined by specifying a finite collection, $\mathcal{F}$, of forbidden words on a given alphabet, $\mathcal{A}=\{0,1, \ldots, r\}$.
- Define $X_{\mathcal{F}} \subset \Sigma_{r}$ to be the set of all sequences none of whose words are in $\mathcal{F}$.


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## Example

Let $\mathcal{A}=\{0,1\}$ and $\mathcal{F}=\{11\} .\left(X_{\mathcal{F}}, \sigma\right)$ is called the golden mean shift.

> Adjacency Matrix Graph

$$
\left(\begin{array}{ll}
1 & 1 \\
1 & 0
\end{array}\right)
$$



Intricacy of a subshift, $X$

$$
\operatorname{lnt}\left(X, \mathcal{U}_{0}, \sigma\right)=\lim _{n \rightarrow \infty} \frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n} \log \left(\frac{\left|\mathcal{L}_{S}(X)\right|\left|\mathcal{L}_{S^{c}}(X)\right|}{\left|\mathcal{L}_{n^{*}}(X)\right|}\right)
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$$

Example (Computing $\left|\mathcal{L}_{S}(X)\right|$ for the golden mean sft)
Let $n=3, n^{*}=\{0,1,2\}$.

$$
\left.\begin{array}{l}
S=\{0,1\} \\
-\frac{-}{-}- \\
0 \\
0 \\
1 \\
1 \\
0
\end{array}\right] \begin{aligned}
& \left|\mathcal{L}_{S}(X)\right|=3
\end{aligned}
$$

$$
\begin{gathered}
S=\{0,2\} \\
- \\
\hline 0
\end{gathered}
$$

Example (Computing $\left|\mathcal{L}_{S}(X)\right|$ for the golden mean sft)

| $S$ | $S^{c}$ | $\left\|\mathcal{L}_{S}(X)\right\|$ | $\left\|\mathcal{L}_{S^{c}}(X)\right\|$ |
| :---: | :---: | :---: | :---: |
| $\emptyset$ | $\{0,1,2\}$ | 1 | 5 |
| $\{0\}$ | $\{1,2\}$ | 2 | 3 |
| $\{1\}$ | $\{0,2\}$ | 2 | 4 |
| $\{2\}$ | $\{0,1\}$ | 2 | 3 |
| $\{0,1\}$ | $\{2\}$ | 3 | 2 |
| $\{0,2\}$ | $\{1\}$ | 4 | 2 |
| $\{1,2\}$ | $\{0\}$ | 3 | 2 |
| $\{0,1,2\}$ | $\emptyset$ | 5 | 1 |

Example (Computing $\left|\mathcal{L}_{S}(X)\right|$ for the golden mean sft)

$$
\begin{gathered}
\begin{array}{cccc}
\hline S & S^{c} & \left|\mathcal{L}_{S}(X)\right| & \left|\mathcal{L}_{S^{c}}(X)\right| \\
\hline \emptyset & \{0,1,2\} & 1 & 5 \\
\{0\} & \{1,2\} & 2 & 3 \\
\{1\} & \{0,2\} & 2 & 4 \\
\{2\} & \{0,1\} & 2 & 3 \\
\{0,1\} & \{2\} & 3 & 2 \\
\{0,2\} & \{1\} & 4 & 2 \\
\{1,2\} & \{0\} & 3 & 2 \\
\{0,1,2\} & \emptyset & 5 & 1 \\
\frac{1}{3 \cdot 2^{3}} \sum_{S \subset 3^{*}} \log \left(\frac{\left|\mathcal{L}_{S}(X)\right|\left|\mathcal{L}_{S^{c}}(X)\right|}{\left|\mathcal{L}_{n^{*}}(X)\right|}\right)=\frac{1}{24} \log \left(\frac{6^{4} \cdot 8^{2}}{5^{6}}\right) \approx 0.070
\end{array} .
\end{gathered}
$$

Theorem
Let $X$ be a shift of finite type with adjacency matrix $M$ such that $M^{2}>0$. Let $c_{S}^{n}=2^{-n}$ for all $S$. Then

$$
\operatorname{Asc}\left(X, \mathcal{U}_{0}, \sigma\right)=\frac{1}{4} \sum_{k=1}^{\infty} \frac{\log \left|\mathcal{L}_{k^{*}}(X)\right|}{2^{k}}
$$

Asc is sensitive to word counts of all lengths, so is a finer measurement than $h_{\text {top }}$, which just gives the asymptotic exponential growth rate.

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Proof idea: Most subsets $S \subset n^{*}$ are also subsets of $(n-1)^{*}$.
Corollary
For the full $r$-shift with $c_{S}^{n}=2^{-n}$ for all $S$,

$$
\operatorname{Asc}\left(\Sigma_{r}, \mathcal{U}_{0}, \sigma\right)=\frac{\log r}{2} \quad \text { and } \quad \operatorname{Int}\left(\Sigma_{r}, \mathcal{U}_{0}, \sigma\right)=0
$$

Disordered

Theorem
Let $(X, T)$ be a topological dynamical system and fix the system of coefficients to be $c_{S}^{n}=2^{-n}$. Then

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\sup _{\mathcal{U}} \operatorname{Asc}(X, \mathcal{U}, T)=h_{\text {top }}(X, T)
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- Most $S \subset n^{*}$ have size about $n / 2$, so are not too sparse.

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- The proof depends on the structure of average subsets of $n^{*}=\{0,1, \ldots, n-1\}$.
- Most $S \subset n^{*}$ have size about $n / 2$, so are not too sparse.
- In ordinary topological entropy of a subshift, using the time-0 partition (or open cover) $\alpha$, when we replace $\alpha$ by $\alpha_{k^{*}}=\alpha_{0}^{k-1}$ in counting the number of cells or calculating the entropy of the refined partition, instead of $\alpha_{n^{*}}$, we are looking at $\alpha_{(n+k)^{*}}$, and when $k$ is fixed, as $n$ grows the result is the same.

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- When we code by $k$-blocks, $S \subset n^{*}$ is replaced by $S+k^{*}$, and the effect on $\alpha_{S+k^{*}}$ as compared to $\alpha_{S}$ is similar, since it acts similarly on each of the long subintervals comprising $S$.
$S_{1}$

- Fix a $k$ for coding by $k$-blocks (or looking at $N\left(\left(U_{k}\right)_{S}\right)$ or $\left.H\left(\left(\alpha_{k}\right)_{S}\right)\right)$.
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- Fix a $k$ for coding by $k$-blocks (or looking at $N\left(\left(U_{k}\right)_{S}\right)$ or $\left.H\left(\left(\alpha_{k}\right)_{s}\right)\right)$.
- Cut $n^{*}$ into consecutive blocks of length $k / 2$.

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- So if $S$ hits many of the intervals of length $k / 2$, then $S+k^{*}$ starts to look like a union of long intervals, say each with $\left|E_{j}\right|>k$.

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- By shaving a little off each of these relatively long intervals, we can assume that also the gaps have length at least $k$.

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- By shaving a little off each of these relatively long intervals, we can assume that also the gaps have length at least $k$.
- Given $\epsilon>0$, we may assume $k$ is large enough that for every interval $I \subset \mathbb{N}$ with $|I| \geqslant k / 2$,

$$
0 \leqslant \frac{\log N(I)}{\operatorname{card}(I)}-h_{\mathrm{top}}(X, \sigma)<\epsilon
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- and show that $\lim _{n \rightarrow \infty} \frac{\operatorname{card}(\mathfrak{B})}{2^{n}}=0$.
- If $S \notin \mathfrak{B}$, then $S$ hits many of the intervals of length $k / 2$,
- Given $\epsilon>0$, we may assume $k$ is large enough that for every interval $I \subset \mathbb{N}$ with $|I| \geqslant k / 2$,

$$
0 \leqslant \frac{\log N(I)}{\operatorname{card}(I)}-h_{\mathrm{top}}(X, \sigma)<\epsilon
$$

- We let $\mathfrak{B}$ denote the set of $S \subset n^{*}$ which miss at least $2 n \epsilon / k$ of the intervals of length $k / 2$
- and show that $\lim _{n \rightarrow \infty} \frac{\operatorname{card}(\mathfrak{B})}{2^{n}}=0$.
- If $S \notin \mathfrak{B}$, then $S$ hits many of the intervals of length $k / 2$,
- and hence $S+k^{*}$ is the union of intervals of length at least $k$, and we can arrange that the gaps are also long enough to satisfy the above estimate comparing to $h_{\text {top }}(X, \sigma)$.


## Measure-theoretic dynamical systems

Measure-theoretic dynamical system $(X, \mathcal{B}, \mu, T)$

- $X$ is a measure space
- $\mathcal{B}$ is a $\sigma$-algebra of measurable subsets of $X$
- $\mu$ is a probability measure on $X$, i.e., $\mu(X)=1$
- $T: X \rightarrow X$ is a measure-preserving transformation on $X$, i.e., $T$ is a one-to-one onto map such that $\mu\left(T^{-1} E\right)=\mu(E)$ for all $E \in \mathcal{B}$


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## Entropy of a partition

The entropy of a finite measurable partition $\alpha=\left\{A_{1}, \ldots, A_{n}\right\}$ of $X$ is defined by

$$
H_{\mu}(\alpha)=-\sum_{i=1}^{n} \mu\left(A_{i}\right) \log \mu\left(A_{i}\right)
$$

## Definition

The entropy of $X$ and $T$ with respect to $\mu$ and a partition $\alpha$ is

$$
h_{\mu}(X, \alpha, T)=\lim _{n \rightarrow \infty} \frac{1}{n} H_{\mu}\left(\alpha \vee T^{-1} \alpha \vee \cdots \vee T^{-n+1} \alpha\right)
$$

The entropy of the transformation $T$ is defined to be

$$
h_{\mu}(X, T)=\sup _{\alpha} h_{\mu}(X, \alpha, T) .
$$

For a partition $\alpha$ of $X$ and a subset $S \subset n^{*}$ define

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## Definition ( $\mathrm{P}-\mathrm{W}$ )

Let $(X, \mathcal{B}, \mu, T)$ be a measure-preserving system, $\alpha=\left\{A_{1}, \ldots, A_{n}\right\}$ a finite measurable partition of $X$, and $c_{S}^{n}$ a system of coefficients. The measure-theoretic intricacy of $T$ with respect to the partition $\alpha$ is

$$
\operatorname{lnt}_{\mu}(X, \alpha, T)=\lim _{n \rightarrow \infty} \frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n}\left[H_{\mu}\left(\alpha_{S}\right)+H_{\mu}\left(\alpha_{S^{c}}\right)-H_{\mu}\left(\alpha_{n^{*}}\right)\right]
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$$

The measure-theoretic average sample complexity of $T$ with respect to the partition $\alpha$ is

$$
\operatorname{Asc}_{\mu}(X, \alpha, T)=\lim _{n \rightarrow \infty} \frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n} H_{\mu}\left(\alpha_{S}\right)
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Theorem
The limits in the definitions of measure-theoretic intricacy and measure-theoretic average sample complexity exist.

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Let $(X, \mathcal{B}, \mu, T)$ be a measure-preserving system and fix the system of coefficients $c_{S}^{n}=2^{-n}$. Then

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## Theorem (Ornstein-Weiss, 2007)

If $J$ is a finitely observable functional defined for ergodic finite-valued processes that is an isomorphism invariant, then $J$ is a continuous function of the measure-theoretic entropy.

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- or do not take the limit on $n$, and study it as a function of $n$,
- analogously to the symbolic or topological complexity functions.
- Similarly for the measure-theoretic version: fix a partition $\alpha$ and study the limit, or the function of $n$.

$$
\operatorname{Asc}_{\mu}(X, T, \alpha)=\lim _{n \rightarrow \infty} \frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n} H_{\mu}\left(\alpha_{S}\right)
$$

So we begin study of Asc for a fixed open cover as a function of $n$.

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\operatorname{Asc}\left(X, \sigma, U_{k}, n\right)=\frac{1}{n} \sum_{S \subset n^{*}} c_{S}^{n} \log N(S)
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So we begin study of Asc for a fixed open cover as a function of $n$.

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$$

Example


Figure: Graphs of two subshifts with the same complexity function but different average sample complexity functions.

$$
\operatorname{Asc}(n)=\frac{1}{n} \frac{1}{2^{n}} \sum_{S \subset n^{*}} \log N(S)
$$

${ }^{\wedge} \mathrm{p}^{\prime}(\mathrm{a})$


## Interesting example



These SFTs have the same entropy and complexity functions (words of length $n$ ) but different Asc and Int functions.

## Results in measure-theoretic setting

For a fixed partition $\alpha$, we give a relationship between $\mathrm{Asc}_{\mu}(X, \alpha, T)$ and a series summed over $i$ involving the conditional entropies $H_{\mu}\left(\alpha \mid \alpha_{i}^{\infty}\right)$.

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Idea

- View a subset $S \subset n^{*}$ as corresponding to a random binary string of length $n$ generated by Bernoulli measure $\mathcal{B}(1 / 2,1 / 2)$ on the full 2-shift.
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- For example $\{0,2,3\} \subset 5^{*} \leftrightarrow 10110$.
- The average entropy, $H_{\mu}\left(\alpha_{S}\right)$, over all $S \subset n^{*}$, is then an integral and can be interpreted in terms of the entropy of a first-return map to the cylinder $A=[1]$ in a cross product of our system $X$ and the full 2 -shift, $\Sigma_{2}$.


## Theorem

Let $(X, \mathcal{B}, \mu, T)$ be a measure-preserving system and $\alpha$ a finite measurable partition of $X$. Let $A=[1]=\left\{\xi \in \Sigma_{2}^{+}: \xi_{0}=1\right\}$ and $\beta=\alpha \times A$ the related finite partition of $X \times A$. Denote by $T_{X \times A}$ the first-return map on $X \times A$ and let $P_{A}=P / P[1]$ denote the measure $P$ restricted to $A$ and normalized. Let $c_{S}^{n}=2^{-n}$ for all $S \subset n^{*}$. Then

$$
\operatorname{Asc}_{\mu}(X, \alpha, T)=\frac{1}{2} h_{\mu \times P_{A}}\left(X \times A, \beta, T_{X \times A}\right) .
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$$
\operatorname{Asc}_{\mu}(X, \alpha, T) \geqslant \frac{1}{2} \sum_{i=1}^{\infty} \frac{1}{2^{i}} H_{\mu}\left(\alpha \mid \alpha_{i}^{\infty}\right)
$$

Equality holds in certain cases (in particular, for Markov shifts)

In the topological case the first-return map $T_{X \times A}$ is not continuous nor expansive nor even defined on all of $X \times A$ in general, so known results about measures of maximal entropy and equilibrium states do not apply.

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$$
\operatorname{Int}(X, \mathcal{U}, T)=2 \operatorname{Asc}(X, \mathcal{U}, T)-h_{\text {top }}(X, \mathcal{U}, T)
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Maybe some modern work on local or relative variational principles, almost subadditive potentials, equilibrium states for shifts with infinite alphabets, etc. could apply? (Barreira, Mummert, Yayama, Cao-Feng-Huang, Huang-Ye-Zhang, Huang-Maass-Romagnoli-Ye, Cheng-Zhao-Cao, ...)

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But the above theorem does give up some information immediately:

## Proposition

When $T: X \rightarrow X$ is an expansive homeomorphism on a compact metric space (e.g., a subshift), $\operatorname{Asc}_{\mu}(X, T, \alpha)$ is an affine upper semicontinuous (in the weak* topology) function of $\mu$, so the set of maximal measures for $\operatorname{Asc}_{\mu}(X, T, \alpha)$ is nonempty, compact, and convex and contains ergodic measures (see Walters, p. 198 ff.).

## Markov Shift

- Consider the measure on the shift space $\left(\Sigma_{n}, \sigma\right)$ given by s stochastic matrix $P=\left(P_{i j}\right)$ and fixed probability vector $p=\left(\begin{array}{llll}p_{0} & p_{1} & \ldots & p_{n-1}\end{array}\right)$, i.e. $\sum p_{i}=1$ and $p P=p$.
- The measure $\mu_{P, p}$ is defined as usual on cylinder sets by $\mu_{p, P}\left[i_{0} i_{1} \ldots i_{k}\right]=p_{i_{0}} P_{i_{0} i_{1}} \cdots P_{i_{k-1} i_{k}}$.


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Example (1-step Markov measure on the golden mean shift) Denote by $P_{00} \in[0,1]$ the probability of going from 0 to 0 in a sequence of $X_{\{11\}} \subset \Sigma_{2}$. Then

$$
P=\left(\begin{array}{cc}
P_{00} & 1-P_{00} \\
1 & 0
\end{array}\right), \quad p=\left(\begin{array}{cc}
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$$

Using the series formula and known equations for conditional entropy, we approximate $\mathrm{Asc}_{\mu}$ and $\mathrm{Int}_{\mu}$ for Markov measures on SFTs.

1-step Markov measures on the golden mean shift
Calculations for one-step Markov measure


| $P_{00}$ | $h_{\mu}$ | $\mathrm{Asc}_{\mu}$ | $\mathrm{Int}_{\mu}$ |
| :--- | :--- | :--- | :--- |
| 0.618 | $\mathbf{0 . 4 8 1}$ | 0.266 | 0.051 |
| 0.533 | 0.471 | $\mathbf{0 . 2 7 1}$ | 0.071 |
| 0.216 | 0.292 | 0.208 | $\mathbf{0 . 1 2 4}$ |

- Maximum value of $h_{\mu}=h_{\text {top }}=\log \phi$ when $P_{00}=1 / \phi$
- Unique maxima among 1-step Markov measures for $\mathrm{Asc}_{\mu}$ and Int $_{\mu}$
- Maxima for $\mathrm{Asc}_{\mu}, \operatorname{Int}_{\mu}$, and $h_{\mu}$ achieved by different measures

2-step Markov measures on the golden mean shift
Intricacy for two-step Markov measure

Average sample complexity for two-step Markov measure

on the golden mean shift


| $P_{000}$ | $P_{100}$ | $h_{\mu}$ | $\mathrm{Asc}_{\mu}$ | $\operatorname{lnt}_{\mu}$ |
| :--- | :--- | :--- | :--- | :--- |
| 0.618 | 0.618 | $\mathbf{0 . 4 8 1}$ | 0.266 | 0.051 |
| 0.483 | 0.569 | 0.466 | $\mathbf{0 . 2 7 2}$ | 0.078 |
| 0 | 0.275 | 0.344 | 0.221 | $\mathbf{0 . 1 6 7}$ |

- $\mathrm{Asc}_{\mu}$ appears to be strictly convex, so it would have a unique maximum among 2-step Markov measures
- $\operatorname{Int}_{\mu}$ appears to have a unique maximum among 2-step Markov measures on a proper subshift ( $P_{000}=0$ )
- The maxima for $\mathrm{Asc}_{\mu}$, $\operatorname{Int}{ }_{\mu}$, and $h_{\mu}$ are achieved by different measures

1-step Markov measures on the full 2-shift

Average sample complexity for one-step Markov measure


| $P_{00}$ | $P_{11}$ | $h_{\mu}$ | $\mathrm{Asc}_{\mu}$ | $\operatorname{lnt}_{\mu}$ |
| :--- | :--- | :--- | :--- | :--- |
| 0.5 | 0.5 | $\mathbf{0 . 6 9 3}$ | $\mathbf{0 . 3 4 7}$ | 0 |
| 0.216 | 0 | 0.292 | 0.208 | $\mathbf{0 . 1 2 4}$ |
| 0 | 0.216 | 0.292 | 0.208 | $\mathbf{0 . 1 2 4}$ |
| 0.905 | 0.905 | 0.315 | 0.209 | 0.104 |

Intricacy for one-step Markov measure


1-step Markov measures on the full 2-shift
Average sample complexity for one-step Markov measure



- $\mathrm{Asc}_{\mu}$ appears to be strictly convex, so it would have a unique maximum among 1-step Markov measures
- $\operatorname{Int}_{\mu}$ appears to have two maxima among 1-step Markov measures on proper subshifts ( $P_{00}=0$ and $P_{11}=0$ ).
- There seems to be a 1 -step Markov measure that is fully supported and is a local maximum for $\mathrm{Int}_{\mu}$ among all 1-step Markov measures.
- The maxima for $\mathrm{Asc}_{\mu}, \operatorname{Int}_{\mu}$, and $h_{\mu}$ are achieved by different measures.

We summarize some of the questions generated above.

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Conj. 1: On the golden mean SFT, for each $r$ there is a unique $r$-step Markov measure $\mu_{r}$ that maximizes $\operatorname{Asc}_{\mu}(X, \sigma, \alpha)$ among all $r$-step Markov measures.

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Table: Calculations for one-step Markov measures on the golden mean shift. Bolded numbers are maxima for given category.

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Table: Calculations for two-step Markov measures on the golden mean shift.

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Intricacy for two-step Markov measure on the golden mean shift


Two-step Markov measure on the golden mean shift


Figure: Combination of the plots of $h_{\mu}, \mathrm{Asc}_{\mu}$, and $\operatorname{Int}{ }_{\mu}$ for two-step Markov measures on the golden mean shift.

Conj. 5: On the 2-shift there are two 1-step Markov measures that maximize $\operatorname{Int}_{\mu}(X, T, \alpha)$ among all 1-step Markov measures. They are supported on the golden mean SFT and its image under the dualizing map $0 \leftrightarrow 1$.

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Intricacy for one-step Markov measure on the full 2-shift


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Intricacy for one-step Markov measure on the full 2 -shift


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- Analogous definitions, results, and conjectures exist when entropy is generalized to pressure, by including a potential function which measures the energy or cost associated with each configuration.
- The conjectures extend to arbitrary shifts of finite type and other dynamical systems.
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- First one can consider a function of just a single coordinate that gives the value of each symbol.
- Maximum intricacy may be useful for finding areas of high information activity, such as working regions in a brain (Edelman-Sporns-Tononi) or coding regions in genetic material (Koslicki-Thompson).

The end

The end (of this talk).

