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The Notion of Complexity

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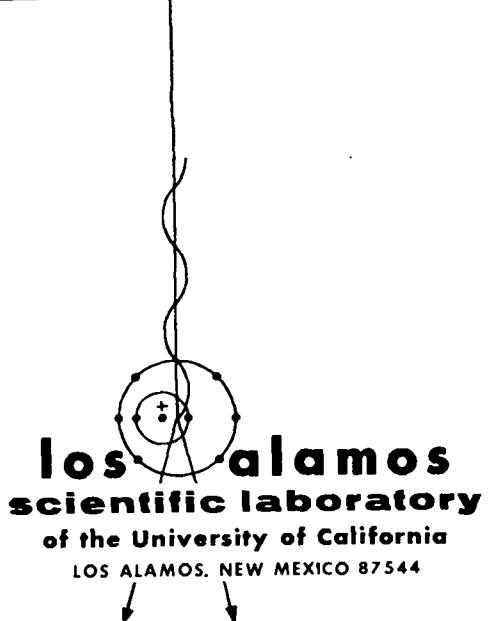
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Printed in the United States of America. Available from
National Technical Information Service
U. S. Department of Commerce
6285 Port Royal Road
Springfield, Virginia 22151
Price: Printed Copy \$3.00; Microfiche \$0.95



LA-4822

UC-32

ISSUED: December 1971

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by

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W. A. Beyer, M. L. Stein, and S. M. Ulam

ABSTRACT

The notion of the arithmetic complexity $|n|$ of an integer n is defined in terms of the minimum number of additions, multiplications, and exponentiations required to combine 1's to form n . The value of $|n|$ is calculated for $n < 2^{10}$. n is called complicated if $|n| > |n_1|$ for every $n_1 < n$. Of the first 19 complicated numbers, 14 are prime. A conjecture about a relation between complexity and entropy is proposed. Some computations are presented to support this conjecture.

I. INTRODUCTION

In this report we discuss notions of complexity in some algebraic structures. These notions are also applicable to more general combinatorial situations that perhaps lack any algebraic pattern in the classical sense. We concentrate on a few special cases for which we studied and calculated a special notion of complexity. Essentially, we examined a special notion of complexity for ordinary integers with a little excursion on such a notion for integers modulo a prime.

The notion of complexity, in our view, is separate, though associated with the idea of the amount of information or entropy of a system. We mention briefly a possible axiomatic approach to defining a real number called complexity for elements of a set or of a class on which certain operations are performed. These could be binary operations; our set could be a set of integers, and the operations could be addition, multiplication, and exponentiation, for example. It is this case that was examined on a computing machine and to which most of this report is devoted.

Another case would be a class of subsets of a given set, with allowed operations being the Boolean operations of union and intersection or

union and complementation. One could add other operations, for example, the direct product of sets and also projection. This would correspond to allowing quantifiers in our theory. One can study a notion of complexity for vectors in a countable space or even in the continuum. An important study would be that of a relative complexity; that is to say, complexity of elements or "expressions" when the complexity of certain symbols is normalized to 1. In what has been sometimes called "speculation" on constants in physical theories, for example, the whole art seems to depend on the success of attempts to define some known important numbers, e.g., the dimensionless ratios

$$M_{\text{proton}}/M_{\text{electron}} = 1836.11\dots$$

and

$$e^2/hc = 137.1\dots$$

by use of only a few artificially introduced constants which should be as "simple" as possible. (cf. the attempts by Eddington¹ and some very recent ones by Good² and Wyler.³)

Considered "genetically," a mathematical theory resembles a tree in that one obtains from a given number of symbols corresponding to "variables"

and from a number of allowed operations, expressions that elongate by branching. The simplifications and abbreviations may then reduce the length of the expressions.

One could try to define complexity in a mathematical structure by postulating certain of its properties, somewhat like postulating properties of a measure.

Let the structure, S , consist of elements x, y, \dots . It may be finite or infinite. We have in the set S a number of, say, binary operations R_1, R_2, \dots, R_n . We want to assign a number $c(x) \geq 0$ to each element x of S and to each R_i ($i = 1 \dots n$) so that the following properties should hold.

- a. If $z = R_i(x, y)$, then $c(z) = c(R_i(x, y)) \leq c(x) + c(y) + c(R_i)$ $i = 1 \dots n$.
- b. For each element z , if $z = R_j(x, y)$, we should have for one case at least, $c(z) = c(x) + c(y) + c(R_j)$.
- c. $z(x_0) = z(x_1) = \dots = z(x_n)$ for some pre-assigned elements $x_0 \dots x_n$.

Needless to say, one can define analogous desiderata for the case in which the operations are more general than binary ones.

Obviously, in the case to which our exercise is devoted, these postulates are satisfied. Moreover, they define the complexity uniquely if, as must be the case in general, the complexity was normalized for some elements. (In our case, we assume the complexity of the integer 0 to be equal to 1. We hope to study this notion more thoroughly for the more general case and also to perform experiments to determine complexity functions for the case in which S is a class of sets.) Ultimately, one would wish to discuss the complexity of genetic codes and biological organisms quantitatively.

("Integer" always means a positive integer.)

II. ARITHMETIC COMPLEXITY OF INTEGERS

The arithmetic complexity $|n|$ of an integer n is defined as the fewest number of operators: $+$, \times , $\times x$ (addition, multiplication, and exponentiation) which combine 1's to form n . Thus, $|1| = 0$; $|2| = 1$ since $2 = 1 + 1$; and $|5| = 4$ since $5 = (1 + 1)\times x$ ($1 + 1$) + 1 and not fewer than four operators with 1's will form five. Obviously, for a and b integers, $|a + b|$, $|ab|$, and $|a^b|$ are each not more than

$|a| + |b| + 1$. For an infinity of integers n , the relation $|n + 1| = |n| + 1$ holds.

For the purpose of calculating the complexity of some integers, all correct formulas (up to some number of operators) involving $+$, \times , $\times x$, and the number 1 were enumerated using parenthesis-free notation on a computer. It required one hour of computer time to enumerate the integers with complexity ≤ 6 . Ralph Cooper made the following observation. Each correct formula involving $n (> 0)$ operators is the composition of two formulas, one formula with n_1 operators and one formula with n_2 operators such that $n = n_1 + n_2 + 1$. One generates the integers of complexity n by first generating tables of integers of complexity $< n$. One partitions $n - 1$ into $n_1 + n_2$ in all ways and combines the integers of complexity n_1 with the integers of complexity n_2 to produce integers of complexity not larger than n . This method is considerably more efficient than the previous method. Table I lists the complexity of all integers $< 2^{10}$.

From the above construction, one sees that an upper bound $\ell^1(k)$ to $\ell(k)$, the number of integers of complexity k , is given by the solution of

$$\ell^1(k+1) = \sum_{j=0}^k \ell^1(j) \ell^1(k-j),$$

with $\ell^1(0) = 1$. The solution to this equation is given by

$$\ell^1(k) = \frac{1}{k+1} \binom{2k}{k} 2^{-k},$$

which implies that

$$\ell(k) < \frac{2^k}{k\sqrt{\pi k}} + O\left(2^k k^{-5/2}\right).$$

Two additional forms of complexity have been considered and calculated.

- a. Complement complexity. To make complexity symmetric in 0's and 1's, we introduce a slightly different complexity, the complement complexity $\bar{K}(y|n)$. Define the complement operation C by $C(x|n) = 2^n - 1 - x$. $\bar{K}(y|n)$ is defined as the fewest operations of addition, multiplication, exponentiation, and complementation that combine 1's to form y . In the count of operations, the

TABLE I. COMPLEXITY OF INTEGERS $< 2^{10}$.

Complexity	Integer
0	1
1	2
2	3
3	4
4	5 6 8 9
5	7 10 16 27
6	11 12 17 18 25 28 32 36 64 81 256 512
7	13 14 15 19 20 24 26 29 33 37 49 54 65 82 100 125 128 216 243 257 513 729 1024
8	21 22 30 34 38 48 50 55 56 66 72 83 101 121 126 129 144 162 217 244 250 269 324 343 514 625 730 784 1000
9	23 31 35 39 40 45 51 52 57 58 67 73 74 75 81 96 98 102 108 122 127 130 145 163 164 169 192 196 200 218 225 245 250 259 290 325 344 361 400 432 486 515 576 626 676 731 768 785 841 1001
10	61 62 64 66 53 59 60 63 66 76 78 80 85 87 90 97 99 103 109 110 111 112 123 131 132 135 146 147 165 166 170 193 195 197 201 202 219 226 242 246 251 252 260 284 291 300 326 345 362 375 384 401 433 434 441 447 488 516 577 578 627 646 677 686 732 769 771 786 842 900 1002
11	63 67 61 62 69 70 77 79 86 88 89 91 104 113 114 116 121 133 134 136 140 148 150 153 160 167 168 171 180 189 194 196 203 204 220 224 227 247 249 253 254 261 262 264 265 270 292 301 303 320 327 328 338 346 363 376 378 385 387 392 402 405 435 436 442 450 485 489 490 500 517 518 520 521 529 579 580 626 649 650 651 678 687 688 722 733 770 772 774 787 800 843 864 867 901 961 972 1003
12	71 92 93 95 105 106 115 117 118 119 120 137 141 149 151 152 154 156 161 172 174 175 176 181 185 190 199 205 206 208 221 222 228 232 234 246 255 263 266 271 272 280 263 293 294 296 297 302 308 306 321 329 330 332 333 339 340 347 360 361 356 377 379 381 386 388 390 393 394 403 404 406 410 437 438 443 448 451 452 459 491 492 501 502 504 507 519 522 528 530 539 567 581 582 585 588 600 629 640 652 654 656 675 679 689 690 723 724 734 735 737 738 750 756 773 775 777 788 801 802 810 814 865 866 868 870 882 902 962 966 973 974 975 976 1004
13	95 107 138 142 155 157 158 159 173 177 178 182 186 187 191 207 209 223 229 231 233 235 260 267 268 273 274 275 281 284 295 298 305 307 308 309 322 331 333 336 337 341 342 348 349 351 352 365 367 369 370 380 382 389 391 395 396 407 408 411 415 416 425 439 440 444 449 453 454 455 460 464 476 493 494 495 496 503 505 506 506 510 523 524 531 537 540 544 548 548 560 574 583 584 586 589 591 592 593 594 601 602 603 605 606 612 630 631 633 634 641 645 653 655 657 661 680 691 692 700 702 704 720 725 726 736 739 745 747 751 752 753 757 776 778 780 783 789 790 792 793 803 804 806 811 820 845 869 871 872 873 875 883 884 891 896 903 909 963 969 970 977 978 980 999 1005 1006 1008 1009
14	139 143 179 183 184 188 210 212 230 236 237 238 241 269 276 279 282 285 286 299 310 312 315 316 319 323 335 350 353 356 359 366 371 372 383 397 398 399 409 412 417 420 426 445 456 461 462 465 468 472 475 477 480 486 499 509 511 525 526 527 532 536 538 551 552 555 559 550 560 561 566 569 575 587 590 595 601 607 608 609 610 613 632 635 637 642 646 658 660 665 666 672 681 682 684 693 694 701 703 705 707 715 721 727 728 740 741 746 748 751 755 756 759 761 762 765 779 781 791 794 795 805 806 809 812 815 816 821 825 830 832 833 846 847 849 850 874 876 880 885 886 892 897 904 910 918 924 925 926 936 960 961 971 979 981 982 984 985 1007 1010 1014 1016
15	211 213 214 239 277 278 287 311 313 314 317 318 354 355 357 373 374 413 414 418 421 423 424 427 429 446 447 457 458 459 463 466 469 470 473 476 483 487 533 534 543 546 551 555 562 570 596 597 599 611 614 615 616 618 621 624 636 643 644 647 659 661 662 663 667 668 670 673 674 683 695 696 698 706 708 714 716 742 743 744 749 760 763 764 766 768 796 807 813 814 817 822 824 826 829 831 834 836 837 840 848 851 851 855 857 858 877 878 879 881 887 888 889 893 898 905 906 908 911 912 913 919 920 926 927 929 931 935 937 945 950 952 957 965 963 986 987 988 990 996 1011 1012 1015 1017 1018 1020
16	215 358 419 422 428 430 467 471 474 479 482 535 547 552 556 557 558 559 563 564 565 571 572 573 594 617 619 620 622 639 649 671 697 699 709 711 712 713 717 718 767 797 799 818 819 823 827 828 835 838 852 853 856 859 861 890 894 899 907 914 915 916 917 921 922 930 932 938 944 946 951 953 954 958 966 967 989 991 992 993 997 998 1013 1019 1021 1022 1023
17	431 553 554 623 710 719 839 860 862 895 923 933 939 940 941 942 947 948 949 955 956 959 994 995

first three are given the value 1 and the last is given the value zero. Thus $\bar{K}(y|n) = \bar{K}(2^n - 1 - y|n)$. Table II gives the values of $\bar{K}(y|n)$ for $y < 2^{10}$ and $n = 10$.

- b. Modulo a prime p complexity. In addition to the operations of +, x, and xx, the operation of mod_p is allowed and is defined by mod_p(x) = $x - p[x/p]$ where p is a fixed prime and [] denotes the greatest integer. Table III gives the modulo prime p = 137 complexity for integers < 137. Table IV gives the modulo prime p = 1009 complexity for integers < 1009.

III. COMPLICATED NUMBERS

One defines n to be a complicated number if $|n| > |n_1|$ for every $n_1 < n$. The complicated numbers < 2¹⁰ are 1, 2, 3, 4, 5, 7, 11, 13, 21, 23, 41, 43, 71, 94, 139, 211, 215, 431, and 863. (Those underlined are also prime.) Obviously, there are an infinity of complicated numbers. We propose the following conjectures.

- a. There exists K such that all complicated numbers $K_1 > K$ are prime.
- b. Every sufficiently large integer n is the sum of $k < \log n$ complicated integers.
- c. There exists c such that every sufficiently large n satisfies $|n| < c + \sqrt{\log n}$.

IV. COMPLEXITY AND ENTROPY

Kolmogorov^{4,5} has introduced the notion of complexity of a finite string over a given alphabet. For simplicity, suppose the alphabet to be {0,1}. Let A be an algorithm that transforms finite binary sequences into binary sequences. By an algorithm is meant any of the various equivalent concepts used in logic. For a binary string x, one defines the complexity by

$$K_A(x) = \begin{cases} \min \ell(p) \\ A(p)=x \\ \infty \\ \text{if no } p \text{ exists such that } A(p) = x, \end{cases}$$

where $\ell(p)$ denotes the length of the binary string p. Analogously, one defines conditional complexity.

Let A(p,x) be an algorithm defined from pairs of binary strings to binary strings. Put

$$K_A(y|x) = \begin{cases} \min \ell(p) \\ A(p,x)=y \\ \infty \\ \text{if no } p \text{ exists such that } A(p,x) = y. \end{cases}$$

$K_A(y|x)$ is called the conditional complexity of y with respect to x. Kolmogorov regards complexity as analogous to entropy. We make the following conjecture.

Conjecture. Let a discrete binary information source S in the sense of Shannon⁶ be given with entropy $H = -p \log p - (1-p) \log (1-p)$ where probability (0) = p and probability (1) = 1-p; $0 < p < 1$. Let $\{x_1, x_2, \dots, x_{2^n}\}$ be the set of all binary strings of length n arranged in order of decreasing probability. Let k(n) be the least integer so that $\sum_{i=1}^{k(n)} \text{prob}(x_i) > r$ where $1/2 < r < 1$. Then asymptotically for large n,

$$H \approx \frac{1}{k(n)} \sum_{i=1}^{k(n)} K_A(x_i|n). \quad (1)$$

In Eq. (1), K_A should be normalized so that when $p = 1/2$,

$$\frac{1}{k(n)} \sum_{i=1}^{k(n)} K_A(x_i|n) = 1.$$

In other words, the most likely sequences from A have complexity approximately equal to the entropy of S.

In order to test the conjecture expressed in Eq. (1), we replaced $K_A(x_i|n)$ by $\lambda \bar{K}(y|n)$, where λ is selected so that when $p = 1/2$,

$$\frac{1}{k(n)} \sum_{i=1}^{k(n)} \lambda \bar{K}(x_i|n) = 1.$$

Graphs of $H_1 = -p \log p - (1-p) \log (1-p)$ and

$$H_2 = \frac{1}{k(n)} \sum_{i=1}^n \lambda \bar{K}(x_i|n)$$

when n = 10 and r = .75 are shown in Fig. 1

TABLE II. COMPLEMENT COMPLEXITY OF INTEGERS $< 2^{10}$.

 Complement
Complexity Integer

0	0	1	1022	1023
1	2	1021		
2	3	1020		
3	4	1019		
4	5	6	8	9 1014 1015 1017 1018
5	7	10	16	27 996 1007 1013 1016
6	11	12	15	17 18 25 26 28 32 36 61 856 511 518 767 942 959 987 991
	995	997	998	1005 1006 1008 1011 1012
7	13	14	19	20 24 29 31 33 35 37 49 54 63 65 80 82 100 125 128 216
	213	255	257	294 510 513 729 766 768 780 807 895 896 923 941 943 958 960 969 974
	966	968	990	992 994 999 1003 1004 1009 1010
8	21	22	23	30 34 38 48 50 52 53 55 56 68 66 72 79 83 99 101 121
	126	126	127	129 162 215 215 297 515 537 576 588 591 623 624 626 662 675 677 679 681 698 700
	396	509	514	625 676 680 699 728 730 734 765 769 779 781 784 798 806 808 861 879
	894	896	897	899 902 922 924 940 944 951 957 961 967 968 970 971 973 975 985 989
	993	1000	1001	1002
9	39	40	45	47 51 57 58 61 67 70 71 73 74 75 78 84 96 98 102 106
	120	122	123	130 143 145 160 161 163 164 169 182 192 194 200 214 224 226 236
	240	241	245	250 253 259 288 290 292 296 323 325 342 346 348 361 377 396 400
	432	435	447	466 508 515 537 576 588 591 623 624 626 662 675 677 679 681 698 700
	727	731	733	735 764 770 773 778 782 783 785 797 799 805 809 823 827 831 841 851
	859	860	862	863 878 880 893 900 901 903 915 921 925 927 939 945 946 949 950 952
	953	956	962	965 966 972 976 978 983 984
10	61	62	64	66 59 60 68 69 76 77 85 87 90 93 95 97 103 104 105 106
	107	109	110	111 112 119 131 132 135 141 142 146 147 158 159 165 166 168 170 181
	183	189	191	193 195 197 198 199 201 202 213 219 223 227 237 246 248 249 251 252
	260	267	291	297 300 322 326 329 337 341 345 349 360 362 375 384 396 401 430 431
	433	434	436	437 441 445 446 448 450 454 478 484 485 487 488 494 507 516 529 535 536
	536	539	545	573 575 577 578 582 586 587 589 590 592 593 622 627 639 648 661 663
	674	678	682	686 694 697 701 723 726 732 736 763 771 772 774 775 777 786 796 800
	804	810	821	822 824 825 826 828 830 832 834 840 842 853 855 857 858 864 865 876
	877	881	882	888 891 892 904 911 912 913 914 916 917 918 919 920 926 928 930 933
	936	938	946	947 954 955 963 964 977 979 981 982
11	13	86	88	89 91 92 94 113 114 116 118 133 134 136 138 140 148 150 153 156
	157	167	171	180 184 186 188 190 194 203 208 212 220 222 228 229 234 236 247
	261	262	264	265 270 286 298 299 301 303 306 320 321 327 328 330 331 335 336 338
	339	340	350	359 363 364 372 373 374 376 377 381 383 385 387 392 395 402 405
	426	429	438	439 440 442 443 444 445 449 451 452 476 477 479 480 482 483 489 490 493
	495	500	502	503 504 505 506 517 518 519 520 521 523 528 530 533 534 540 541 543
	514	516	517	571 572 574 578 580 581 583 584 585 586 594 595 618 621 628 631 636 638
	610	612	615	616 647 649 650 651 659 660 664 673 683 684 685 687 688 692 693 695
	696	704	703	717 720 724 725 737 753 758 759 761 762 776 787 799 794 795 801
	803	811	815	819 820 829 833 835 837 839 843 852 856 866 867 870 873 875 883 885
	887	889	890	905 907 909 910 929 931 932 934 935 937 980
12	115	117	137	139 149 151 152 154 155 172 174 175 176 179 185 187 205 206 207 209
	210	211	221	230 231 232 233 235 236 266 267 269 271 272 273 279 280 282 283 284
	285	302	304	305 307 309 315 316 318 319 332 333 334 351 356 365 366 367 369 371
	379	380	382	386 388 390 391 393 394 403 404 406 410 416 423 426 427 453 454 456
	459	478	475	481 491 492 494 496 498 501 522 524 525 527 531 532 542 546 549 564
	567	569	570	596 597 600 607 613 617 619 620 629 630 632 633 635 637 641 643 644
	652	654	656	657 659 665 672 689 690 691 704 705 707 708 714 716 718 719 721 736
	739	740	741	743 764 780 751 752 754 756 757 760 768 790 791 792 793 802 812 813
	814	816	817	818 836 838 844 847 848 849 851 868 869 871 872 874 884 886 906 908
13	173	177	178	268 274 275 276 277 278 281 308 310 312 314 317 352 353 354 355 356
	357	368	370	369 407 408 409 411 415 417 418 420 421 422 424 425 455 457 458 460
	463	464	465	468 472 473 497 526 550 551 555 558 559 560 563 565 566 568 598 599
	601	602	603	605 606 608 612 614 615 616 634 653 655 666 667 668 669 670 671 706
	709	711	713	715 742 745 746 747 748 749 755 845 846 850
14	311	313	412	413 414 415 419 461 462 486 487 489 491 492 493 495 551 552 553 554 556 557 561 562
	604	609	610	611 710 712

TABLE III. MODULO PRIME $p = 137$ COMPLEXITY OF INTEGERS < 137 .

Complexity Integer

0	1
1	2
2	3
3	4
4	5 6 8 9
5	7 10 15 27
6	11 12 17 16 25 28 32 36 64 81 101 119
7	13 14 15 19 20 24 26 29 33 37 44 49 50 54 61 65 79 82 92 100 102 106 120 122 125 128
8	21 22 30 34 38 41 45 48 51 55 56 60 62 63 66 68 69 72 77 80 83 88 93 99 103 107 109 117 118 121 123 126 129 130 132 133
9	23 31 35 39 40 42 46 47 52 53 57 58 59 67 70 73 74 75 76 78 54 87 89 94 96 98 104 108 110 111 112 113 115 124 127 131 134 136
10	0 43 71 85 86 90 95 97 105 114 116 135
11	91

V. COMPLEXITY OF N-TUPLES OF INTEGERS

Matijasevič⁷ has proved the following theorem. There exists a fifth-degree polynomial $Q(y_1, \dots, y_k; z)$ with integer coefficients such that any enumerable set m of natural numbers (for example, the set of prime numbers) coincides with the set of natural values of the polynomial $Q(y_1, \dots, y_k; a_m)$ where a_m is a certain number effectively constructed for the set m . From the result, it follows that if one could discuss complexity of n -tuples of integers, then one could discuss the complexity of enumerable sets of natural numbers by equating such complexity to the complexity of the associated polynomial Q .

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TABLE IV. MODULO PRIME $p = 1009$ COMPLEXITY OF INTEGERS < 1009 .

Complexity Integer

0	1
1	2
2	3
3	4
4	5 6 8 9
5	7 10 16 27
6	11 12 17 18 25 28 32 36 61 81 256 512
7	13 16 15 19 20 24 26 29 33 37 49 58 65 82 100 125 128 216 243 257 507 513 518 729 960
8	21 22 30 31 38 48 50 55 56 60 66 72 74 83 87 101 121 126 129 137 184 142 169 217 244 258 287 289 324 343 383 388 508 514 527 549 625 710 730 763
9	23 31 35 39 40 45 51 52 57 58 61 67 73 75 80 84 88 96 98 102 106 120 122 127 130 138 142 145 148 163 164 170 173 174 189 192 196 200 218 225 260 242 245 250 259 270 271 274 288 290 322 325 344 360 361 385 400 411 432 449 488 440 465 490 509 515 528 538 550 572 573 576 617 626 631 635 640 670 676 707 711 713 719 731 744 766 768 782 785 787 808 814 829 841 859 877 893 898 912 919 928 962 977 985 994 1001
10	41 42 44 46 53 59 62 63 68 76 78 85 89 90 97 99 103 105 109 110 111 112 123 131 132 135 139 143 146 147 149 165 166 171 175 177 179 180 185 186 190 193 195 197 201 202 203 219 222 226 231 234 251 252 253 254 260 272 275 280 284 296 291 296 300 309 320 323 326 328 338 345 348 351 362 375 386 394 401 404 412 421 423 431 433 434 435 441 443 450 451 454 465 466 469 477 487 494 497 503 510 514 517 519 523 529 530 539 540 551 555 556 559 574 577 578 605 607 609 609 616 622 627 632 635 641 646 643 671 675 677 686 704 709 712 714 715 720 726 732 741 755 745 767 769 771 777 783 786 788 791 805 809 815 822 824 830 835 842 847 860 861 862 878 881 882 886 894 896 899 900 906 913 920 922 927 929 935 937 942 945 955 943 972 978 979 984 991 995 999 1002 1006 1007
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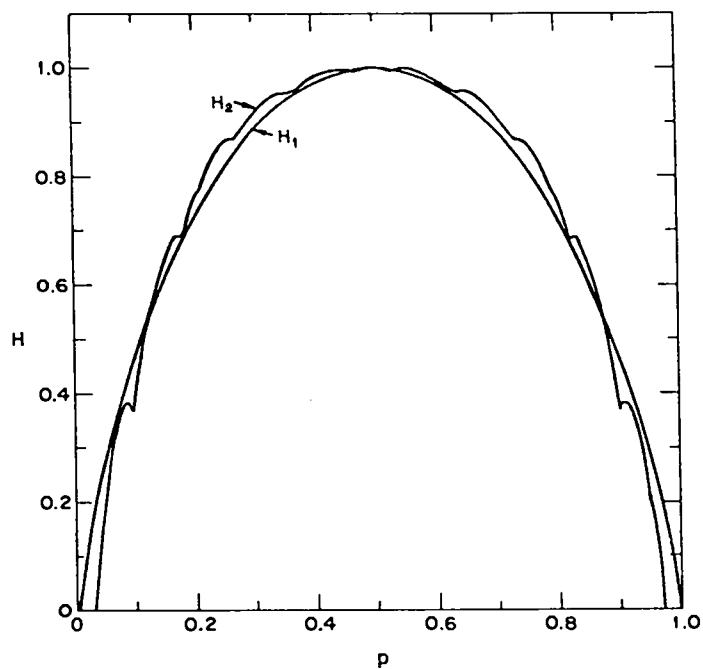


Fig. 1. Comparison of entropy $H_1 = - \sum p_i \log p_i$
and complement complexity H_2 as defined
and discussed in text.