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# **An Introduction to Dynamical Systems and Fractals: 1**

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and the University of Manchester.**

# A Simple Digital Channel

## ● A Simple Digital Channel

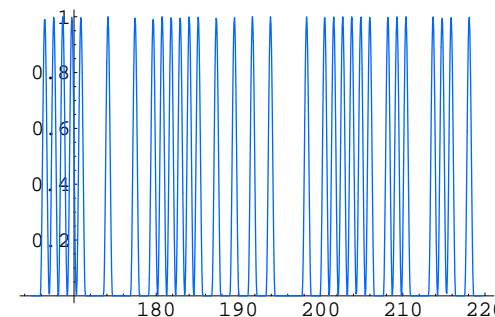
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

- First order system driven by a clocked random pulse sequence:

$$\frac{dy}{dt} = -\gamma y + \xi(t)$$

$$\xi(t) = \sum_p a_p g(t - p\tau)$$

- $\{a_p\} \in \{0, 1\}^{\mathbb{Z}^+}$  are the input symbols
- $g$  is supported on  $(0, \tau)$ .
- Symbols input at constant rate,  $\tau^{-1}$ .
- In the examples,  $g$  is a raised cosine.
- In the numerical example  $\gamma\tau = \log 3$



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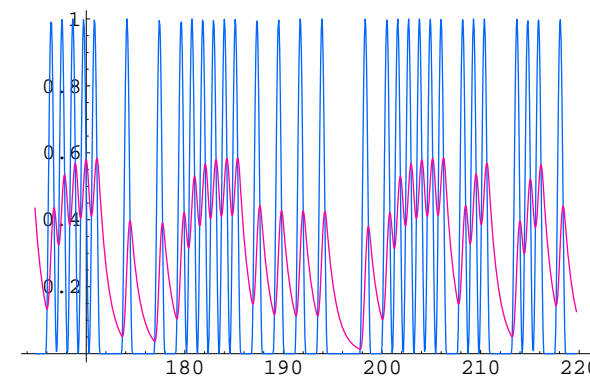
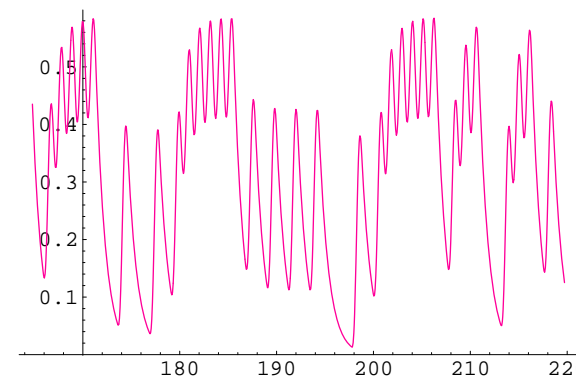
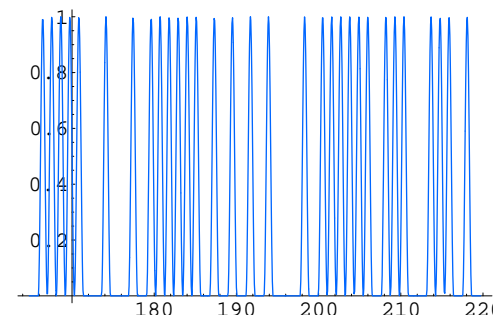
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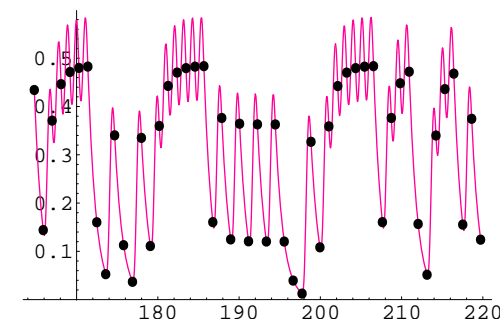
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- Overview
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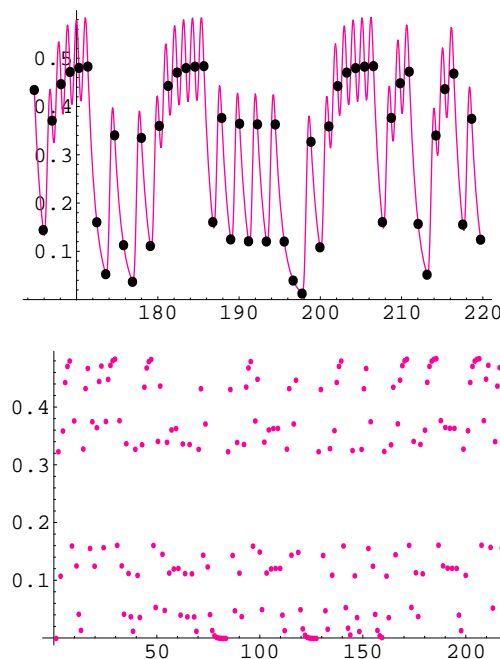
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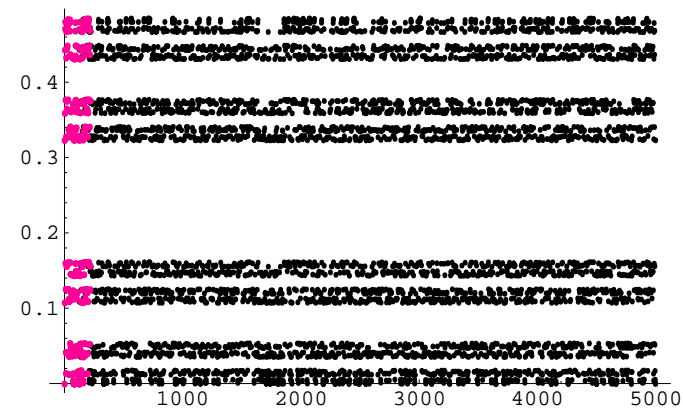
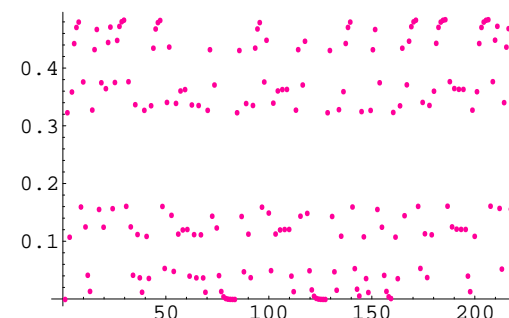
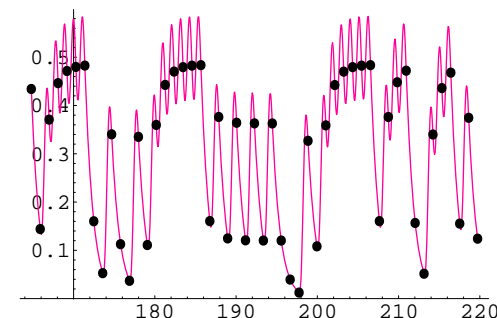
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- When processing signals, it is usual to sample the output.
- A simple picture emerges if we sample at the symbol input rate.
- Just plotting the samples  $\{y_n \stackrel{\text{def}}{=} y(n\tau)\}$
- This becomes clearer with more data
- Apparently, we have sampled a Cantor set.



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Over the next couple of days, we shall explore this relationship by considering the following:

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- Overview
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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
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- Sampling the Output
- Overview
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- Non-hyperbolic IFSs
- Digital forcing/controlling of an inverted pendulum

# Cantor's (rather small) set

- Remove from the closed unit interval  $I_0 = [0, 1]$  its open middle third  $(1/3, 2/3)$  to leave  $I_1 = [0, 1/3] \cup [2/3, 1]$

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- Overview
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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
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- Cantor's (rather large) set
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- Self-similarity of  $C$
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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
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- Cantor's (rather large) set
- Cantor's (perfect) set
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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
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- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
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- Overview
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- This implies that  $l(C) \leq (2/3)^j$  for any  $j \in \mathbb{N}$

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- Sampling the Output
- Overview
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- Cantor's (rather large) set
- Cantor's (perfect) set
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- Clearly  $C$  contains many more points than simply integer multiples of  $3^{-k}$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Representing the middle thirds Cantor set

- Write  $x \in [0, 1]$  in base 3:

$$x = \sum_{k=1}^{\infty} a_k 3^{-k} \stackrel{\text{def}}{=} .a_1 a_2 a_3 a_4 a_5 \dots_3 \text{ where the } a_k \in \{0, 1, 2\}$$

- If we choose to write  $1/3 = .0\bar{2}_3$  rather than  $.1\bar{0}_3$ , then no points in  $I_1 = [0, 1/3] \cup [2/3, 1]$  have  $a_1 = 1$
- In the same way, no points in  $I_2$  have either  $a_1 = 1$  or  $a_2 = 1$
- Continuing in this way we can characterise  $C$  as the subset of  $[0, 1]$  whose base 3 representation does not have any  $a_k = 1$
- Clearly  $C$  contains many more points than simply integer multiples of  $3^{-k}$
- For example it contains  $1/4 = .\bar{0}2_3$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Cantor's (rather large) set

- If  $C$  contained only the integer multiples of  $3^{-k}$  it would be countably infinite, but actually it is far larger than that!

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Cantor's (rather large) set

- If  $C$  contained only the integer multiples of  $3^{-k}$  it would be countably infinite, but actually it is far larger than that!
- In fact, it has the same cardinality as the unit interval

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- To prove this, construct the following surjection  $\phi : C \rightarrow [0, 1]$ :

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Given any  $x \in C$  written in base 3,  $x = \sum_{k=1}^{\infty} a_k 3^{-k}$ , we write

$$\phi(x) = \sum_{k=1}^{\infty} (a_k/2) 2^{-k}$$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- For any  $y \in [0, 1]$  there is clearly at least one  $x \in C$  such that  $y = \phi(x)$ , so the cardinality of  $C$  is at least that of  $[0, 1]$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- But  $C \subset [0, 1]$ , so its cardinality cannot exceed that of  $[0, 1]$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion



# Cantor's (perfect) set

- So far we have found only properties that  $C$  shares with the irrational numbers in the unit interval

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Cantor's (perfect) set

- So far we have found only properties that  $C$  shares with the irrational numbers in the unit interval
- But  $C$  is the compliment of an open set (the union of the removed open intervals) and so, unlike the irrationals,  $C$  is a closed set.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- It is, in fact a perfect set (every point is an accumulation point and every accumulation point lies within the set)

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- The second part of this definition follows because  $C$  is closed. To prove the first part we have to show that for any  $x \in C$  and for every  $\epsilon > 0$  there is at least one other point of  $C$  which lies within the  $\epsilon$ -neighbourhood of  $x$ .

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Choose an arbitrary  $x = .a_1a_2a_3a_4 \dots \in C$ , and for any  $\epsilon > 0$  choose  $k$  so that  $3^{-k} < \epsilon/2$ .

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Choose an arbitrary  $x = .a_1a_2a_3a_4 \dots_3 \in C$ , and for any  $\epsilon > 0$  choose  $k$  so that  $3^{-k} < \epsilon/2$ .
- A switch  $2 \leftrightarrow 0$  in the  $k$ th digit of  $x$  gives  $y = x \pm 2 \cdot 3^{-k}$ . By construction,  $y \in C$  and is in the  $\epsilon$ -neighbourhood of  $x$ .

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Cantor's (nowhere dense) set

- If we take the closure of the *rational* numbers in the unit interval (the intersection of all closed sets which contain the set) we get the whole unit interval. Equivalently, any irrational number can be approximated by a sequence of rational numbers.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Because  $C$  is perfect it must equal its closure, therefore if it is dense in any open sub-interval of  $[0, 1]$  it must contain the sub-interval



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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Because  $C$  is perfect it must equal its closure, therefore if it is dense in any open sub-interval of  $[0, 1]$  it must contain the sub-interval
- But  $C$  contains no intervals. Between any two points in  $C$  there must be a point that requires a 1 somewhere in its base 3 representation.

# Cantor's (nowhere dense) set

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Because  $C$  is perfect it must equal its closure, therefore if it is dense in any open sub-interval of  $[0, 1]$  it must contain the sub-interval
- But  $C$  contains no intervals. Between any two points in  $C$  there must be a point that requires a 1 somewhere in its base 3 representation.
- Thus  $C$  is *nowhere dense* in  $[0, 1]$ .

# Summary

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

- In the sense of measure, the Cantor set is very small since it has zero length.
- Its cardinality is, however, that of the unit interval.
- It is an example of a perfect set—a topological property
- And yet, topologically, it is sparse in the sense that it is a nowhere dense subset of the unit interval.
  
- Let's consider now what makes the Cantor set a basic example in fractal geometry.

# Self-similarity of $C$

- Consider the partition of  $C$  into the following two subsets:

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
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- The dimension of  $C$
- Conclusion

# Self-similarity of $C$

- Consider the partition of  $C$  into the following two subsets:

$$C_0 = \{x = .a_1a_2a_3a_4 \dots_3 \in C \mid a_1 = 0\}$$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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$$C_2 = \{x = .a_1a_2a_3a_4 \dots_3 \in C \mid a_1 = 2\}$$

- And the effect of the following transformations on  $C$ :

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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$$S_0(x) = x/3$$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion



# Self-similarity of $C$

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$$C_0 = \{x = .a_1a_2a_3a_4 \dots_3 \in C | a_1 = 0\}$$

and

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- And the effect of the following transformations on  $C$ :

$$S_0(x) = x/3$$

$$S_2(x) = x/3 + 2/3$$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Clearly  $C_0 = S_0(C)$  and  $C_2 = S_2(C)$ , so that:

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- And the effect of the following transformations on  $C$ :

$$S_0(x) = x/3$$

$$S_2(x) = x/3 + 2/3$$

- Clearly  $C_0 = S_0(C)$  and  $C_2 = S_2(C)$ , so that:

$$C = S_0(C) \cup S_2(C)$$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Self-similarity of $C$

- Consider the partition of  $C$  into the following two subsets:

$$C_0 = \{x = .a_1a_2a_3a_4 \dots_3 \in C | a_1 = 0\}$$

and

$$C_2 = \{x = .a_1a_2a_3a_4 \dots_3 \in C | a_1 = 2\}$$

- And the effect of the following transformations on  $C$ :

$$S_0(x) = x/3$$

$$S_2(x) = x/3 + 2/3$$

- Clearly  $C_0 = S_0(C)$  and  $C_2 = S_2(C)$ , so that:

$$C = S_0(C) \cup S_2(C)$$

- This property is known as *self-similarity*

→  $C$  is the union of two similar copies of itself.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Self-similarity

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

- More generally, for subsets of  $\mathbb{R}^n$
- A *similarity* is a transformation  $S : \mathbb{R}^n \rightarrow \mathbb{R}^n$  with the following property:  
$$\|S(x) - S(y)\| = c\|x - y\| \quad x, y \in \mathbb{R}^n$$
for some fixed positive  $c$

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
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- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- That is, similarities transform sets into geometrically similar sets
- Now consider a collection of similarities:  $\{S_i | i = 1, \dots, N\}$  where each has  $0 < c_i < 1$

- A set  $K \subset \mathbb{R}^n$  which satisfies:

$$K = \bigcup_{i=1}^N S_i(K)$$

is said to be self-similar.



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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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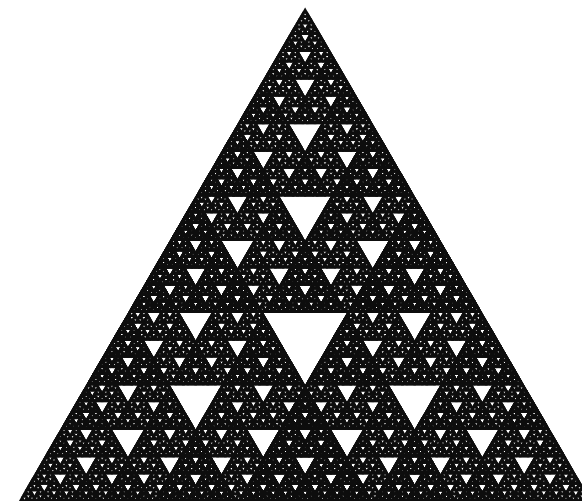
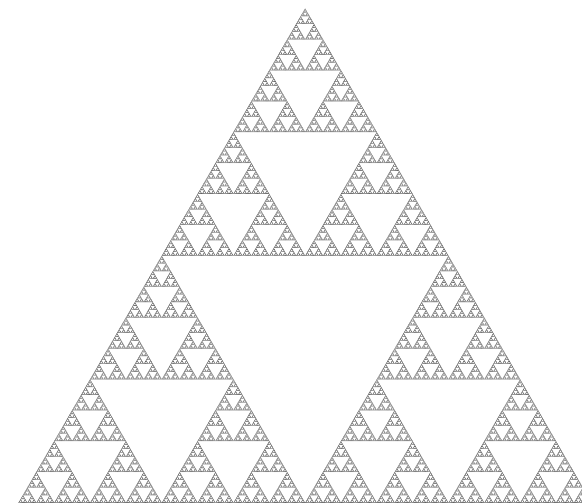
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is said to be self-similar.

- Many examples—like the middle thirds Cantor set—are fractal sets, having structure on arbitrary small scales



# Hausdorff measure

- Write  $K \subset \mathbb{R}^n$ . A  $\delta$ -cover of  $K$  is a countable set of sets  $\{U_i \mid 0 < |U_i| \leq \delta\}$  such that  $K \subset \bigcup_i U_i$ . Here  $|U|$  is the diameter of  $U$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
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- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Hausdorff measure

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
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- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
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- Conclusion

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■  $\mathcal{H}^1(K) = \infty$

■  $\mathcal{H}^2(K)$  is finite

■  $\mathcal{H}^3(K) = 0$

# Hausdorff dimension

- If  $\{U_i\}$  is a  $\delta$ -cover of  $K$ , then if  $t > s$ ,  $(|U_i|/\delta)^t \leq (|U_i|/\delta)^s$  so that

$$\sum_i |U_i|^t \leq \delta^{t-s} \sum_i |U_i|^s$$

and hence  $\mathcal{H}_\delta^t(K) \leq \delta^{t-s} \mathcal{H}_\delta^s(K)$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- Letting  $\delta \rightarrow 0$ , if  $\mathcal{H}^s(K) < \infty$  then  $\mathcal{H}^t(K) = 0$  for  $t > s$ .
- Thus, there is a special value of  $s$  at which  $\mathcal{H}^s(K)$  jumps from  $\infty$  to 0. This is the *Hausdorff dimension*, written  $\dim_H(K)$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- The value of  $\mathcal{H}^s(K)$  when  $s = \dim_H(K)$  may be 0 or  $\infty$  or something in between.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Properties of the Hausdorff dimension

Open sets:  $K \subset \mathbb{R}^n$  is open then  $\dim_H(K) = n$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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**Open sets:**  $K \subset \mathbb{R}^n$  is open then  $\dim_H(K) = n$

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Properties of the Hausdorff dimension

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
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- The dimension of  $C$
- Conclusion

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**Countable stability:** If  $K_1, K_2, \dots$  is a countable sequence of sets, then  $\dim_H(\bigcup_{i=1}^{\infty} K_i) = \sup\{\dim_H(K_i)\}$



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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
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**Countable sets:** If  $K$  is countable then  $\dim_H(K) = 0$

# Properties of the Hausdorff dimension

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

**Open sets:** If  $K \subset \mathbb{R}^n$  is open then  $\dim_H(K) = n$

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- For  $K$  a non-empty bounded subset of  $\mathbb{R}^n$ ,  $N_\delta(K)$  is the smallest number of sets of diameter at most  $\delta$  which cover  $K$ .

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- **Box-counting dimension**
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- If these are equal, the box-counting dimension of  $K$  is:

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- **Box-counting dimension**
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
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- Conclusion



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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
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- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Dimension of self-similar sets

- Recall that a similarity is a transformation  $S : \mathbb{R}^n \rightarrow \mathbb{R}^n$  with the property:

$$\|S(x) - S(y)\| = c\|x - y\| \quad x, y \in \mathbb{R}^n$$

for some fixed positive  $c$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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is said to be self-similar.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
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- Conclusion

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- The small overlap idea is captured by the open set condition. There should exist a bounded, non-empty, open set  $V$  such that

$$\bigcup_{i=1}^N S_i(V) \subset V$$

with the union disjoint.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# The dimension of $C$

- We showed that  $C = S_0(C) \cup S_1(C)$  with
$$S_0(x) = x/3 \text{ and } S_1(x) = x/3 + 2/3$$

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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$$S_0(V) \cap S_1(V) = \emptyset$$

and

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So the open set condition is satisfied.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

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- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
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- This illustrates a general result that a set with Hausdorff dimension less than unity is totally disconnected.

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion

# Conclusion

We have probably overdosed on the middle thirds Cantor set.

but in doing so we have completed the first two parts of the plan:

- Some properties of the Cantor set
- Ways to characterise fractals
- Hyperbolic iterated function systems (IFSs)
- Semi-infinite strings of symbols seen as a metric space
- Topological equivalence with the Cantor set
- Non-hyperbolic IFSs
- Digital forcing/controlling of an inverted pendulum

- A Simple Digital Channel
- Sampling the Output
- Overview
- Cantor's (rather small) set
- Representing the middle thirds Cantor set
- Cantor's (rather large) set
- Cantor's (perfect) set
- Cantor's (nowhere dense) set
- Summary
- Self-similarity of  $C$
- Self-similarity
- Hausdorff measure
- Hausdorff dimension
- Properties of the Hausdorff dimension
- Box-counting dimension
- Properties of the box-counting dimension
- Dimension of self-similar sets
- The dimension of  $C$
- Conclusion