Up-smooth samples of geometric variables

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Abstract

We study samples $\Gamma=(\Gamma_1,\ldots,\Gamma_n)$ of length n where the letters Γ_i are independently generated according to the geometric distribution $\mathbb{P}(\Gamma_j=i)=pq^{i-1}$, for $1\leq j\leq n$, with p+q=1 and 0< p<1. An up-smooth sample Γ is a sample such that $\Gamma_{i+1}-\Gamma_i\leq 1$. We find generating functions for the probability that a sample of n geometric variables is up-smooth, with or without a specified first letter. We also extend the up-smooth results to words over an alphabet of k letters and to compositions of integers. In addition we study smooth samples Γ of geometric random variables, where the condition now is $|\Gamma_{i+1}-\Gamma_i|\leq 1$.

1 Introduction

Let X denote a geometrically distributed random variable, i. e. $\mathbb{P}\{X=k\}=pq^{k-1}$ for $k\in\mathbb{N}$ and q=1-p. The combinatorics of n geometrically distributed independent random variables X_1,\ldots,X_n has attracted recent interest, especially because of applications in computer science, for example see [1,2,7,8]. In particular, Prodinger [8] studied the number of left-to-right maxima for samples $(\Gamma_1,\ldots,\Gamma_n)$ with Γ_i independently generated according to the geometric distribution.

Consider now the sample $\Gamma=(\Gamma_1,\ldots,\Gamma_n)$ of length n where $\mathbb{P}(\Gamma_j=i)=pq^{i-1}$, for $1\leq j\leq n$, with p+q=1 and 0< p<1. An up-smooth sample Γ is a sample such that $\Gamma_{i+1}-\Gamma_i\leq 1$. For instance, when n=3 we have the following samples starting with a 1: 111, 112, 121, 122 and 123 which occur with respective probabilities p^3, p^3q, p^3q, p^3q^2 and p^3q^3 . Thus the probability that a sample of length 3 with first letter 1 is up-smooth is $p^3(1+2q+q^2+q^3)$. Also the probability that a sample of length 3 with arbitrary first letter is up-smooth is

$$\sum_{i=1}^{\infty} pq^{i-1} \sum_{j=1}^{i+1} pq^{j-1} \sum_{k=1}^{j+1} pq^{k-1} = \frac{1 + 2q - q^3 - 2q^4 + q^6}{1 + 2q + 2q^2 + q^3}.$$

In this paper we find generating functions for the probability that a sample of n geometric variables is up-smooth, with or without a specified first letter. The up-smooth condition can be thought of as an extension of the idea of *smooth words*, where the corresponding restriction is $|\Gamma_{i+1} - \Gamma_i| \leq 1$. The smooth restriction has been studied for words over an alphabet of k letters in [5], for set partitions in [6] and for compositions of integers in [4]. In Section 3 we extend the up-smooth results to words over an alphabet of k letters and to compositions of integers. Samples of geometric variables with the original smooth condition have not been previously considered, and these are studied in Section 4.

2 Results

Let $f_n(u)$ be the generating function related to n geometrically distributed random variables, with last part marked by the variable u, and the whole thing satisfying the up-smooth condition.

The adding-a-new-slice technique of Flajolet and Prodinger [3] works here: Let $f_n(u)$ be such that $[u^i]f_n(u)$ is the probability that a word of length n to be an up-smooth with rightmost letter equals i. Then $f_1(u) = \sum_{i\geq 1} pq^{i-1}u^i = \frac{pu}{1-qu}$, and we have the replacement rule

$$u^i \longrightarrow pu + pqu^2 + \dots + pq^iu^{i+1} = \frac{pu}{1-qu} - \frac{pqu^2}{1-qu}(qu)^i$$
.

Consequently,

$$f_{n+1}(u) = f_n(1) \frac{pu}{1 - qu} - \frac{pqu^2}{1 - qu} f_n(qu).$$
 (2.1)

Now define

$$F(z,u) := \sum_{n>1} f_n(u) z^n.$$

Then

$$F(z,u) = \frac{zpu}{1 - qu} + F(z,1) \frac{zpu}{1 - qu} - \frac{pqu^2z}{1 - qu} F(z,qu).$$
 (2.2)

By iteration we get

$$F(z,u) = (1 + F(z,1)) \sum_{j>1} \frac{z^j p^j (-1)^{j-1} u^{2j-1} q^{j(j-1)}}{\prod_{i=1}^j (1 - q^i u)},$$
(2.3)

which implies that

$$1 + F(z, 1) = \frac{1}{1 - \sum_{j \ge 1} \frac{z^{j} p^{j} (-1)^{j-1} q^{j(j-1)}}{(q; q)_{j}}}.$$
 (2.4)

Now consider the case where the first part of the geometric word is i. Corresponding to the above, we will now use the notation $f_{n,i}$ and $F_i(z,u)$. Then $f_{1,i} = pq^{i-1}u^i$ and we find

$$F_i(z, u) = pq^{i-1}u^iz + F_i(z, 1)\frac{zpu}{1 - qu} - \frac{pqu^2z}{1 - qu}F_i(z, qu).$$
 (2.5)

By iteration we obtain

$$F_{i}(z,u) = F_{i}(z,1) \sum_{j\geq 1} \frac{z^{j} p^{j} (-1)^{j-1} u^{2j-1} q^{j(j-1)}}{\prod_{k=1}^{j} (1 - q^{k} u)} + \sum_{j\geq 1} \frac{z^{j} p^{j} (-1)^{j-1} u^{2j-2+i} q^{j^{2}-2j+ij}}{\prod_{k=1}^{j-1} (1 - q^{k} u)}.$$
 (2.6)

From this we can state the following result.

Theorem 1 We have

$$F_i(z) := F_i(z, 1) = \frac{\sum_{j \ge 1} \frac{z^j p^j (-1)^{j-1} q^{j^2 - 2j + ij}}{(q;q)_{j-1}}}{1 - \sum_{j \ge 1} \frac{z^j p^j (-1)^{j-1} q^{j(j-1)}}{(q;q)_j}}.$$
 (2.7)

In particular we have the following interesting identity concerning $F_1(z)$.

$$F_{1}(z) = \frac{\sum_{j\geq 1} \frac{z^{j}p^{j}(-1)^{j-1}q^{j(j-1)}}{(q;q)_{j-1}}}{1 - \sum_{j\geq 1} \frac{z^{j}p^{j}(-1)^{j-1}q^{j(j-1)}}{(q;q)_{j}}}$$

$$= \frac{pz}{-pz + \frac{1}{1 + \frac{pqz}{-pqz + \frac{1}{1 + \frac{pq^{2}z}}}}}.$$

$$(2.8)$$

The continued fraction expression follows from the Lemma below.

Lemma 2 The generating function $F_1(z)$ is given by

$$\cfrac{\frac{pz}{-pz + \cfrac{1}{1 + \cfrac{pqz}{-pqz + \cfrac{1}{1 + \cfrac{pq^2z}{-pq^2z + \cfrac{1}{\cdot}}}}}}.$$

Proof Let π be any up-smooth geometric word over alphabet N with its first letter equal to 1. If in the word π the letter 1 occurs exactly m times, then π can be decomposed as $\pi = 1\pi^{(1)}1\pi^{(2)}\cdots 1\pi^{(m)}$, where $\pi^{(j)}$ is any up-smooth word over alphabet $\{2,3,\ldots\}$ with its first letter 2. Note that each up-smooth word $a_1a_2\cdots a_n$ over alphabet $\{2,3,\ldots\}$ with $a_1=2$ can be mapped to an up-smooth word $(a_1-1)(a_2-1)\cdots (a_n-1)$ over alphabet $\{1,2,3,\ldots\}$ with $a_1-1=1$, it follows that the generating function for the number of directed smooth word $a_1a_2\cdots a_n$ over alphabet $\{2,3,\ldots\}$ with $a_1=2$ is $F_1(qz)$. Therefore

$$F_1(z) = \sum_{m \ge 1} (pz(1 + F_1(qz)))^m = \frac{pz(1 + F_1(qz))}{1 - pz(1 + F_1(qz))},$$

which is equivalent to

$$F_1(z) = \frac{pz}{-pz + \frac{1}{1 + F_1(qz)}}. (2.9)$$

We iterate this equation an infinite number of times to complete the proof.

2.1 Asymptotics

From Theorem 2.1, each $F_i(z)$ has a simple dominant pole at the least positive root of the denominator of F(z) := F(z,1), which we denote by $\alpha \equiv \alpha_q$. So

$$F_i(z) \sim \frac{A_{i,q}}{1-\frac{z}{\alpha}}$$

with some constant $A_{i,q}$ given by

$$A_{i,q} = -\frac{1}{\alpha} \lim_{z \to \alpha} (z - \alpha) F_i(z), \qquad (2.10)$$

from which

$$[z^n]F_i(z) \sim A_{i,q}\alpha^{-n}. \tag{2.11}$$

The next lemma will help us to find a relationship between the constants $A_i \equiv A_{i,q}$, for $i \geq 1$. Let $F_{i_1 i_2}(z)$ be the generating function for all geometric up-smooth samples $(\Gamma_1, \Gamma_2, \ldots, \Gamma_n)$ of length n such that $\Gamma_j = i_j$ for j = 1, 2.

Lemma 3 The generating functions $F_i(z)$ satisfy the recurrence relation

$$F_i(z) = pq^{i-1}z(1 + F_{i+1}(z) + F_i(z) + \cdots + F_1(z)),$$

for all $i \geq 1$.

Proof Each sample $\Gamma = (\Gamma_1, \Gamma_2, \dots, \Gamma_n)$ of length n starting with i has a second letter j with $1 \leq j \leq i+1$, or else consists of the single letter i. Thus, by the definitions we have

$$F_i(z) = pq^{i-1}z + \sum_{j=1}^{i+1} F_{ij}(z) = pq^{i-1}z + pq^{i-1}z \sum_{j=1}^{i+1} F_j(z),$$

which completes the proof. \square By substituting the asymptotic expression

(2.11) into Lemma 2.3 we find that for $i \ge 1$,

$$A_{i+1} = \frac{A_i \alpha^{-1}}{pq^{i-1}} - (A_1 + A_2 + \dots + A_i). \tag{2.12}$$

For example, using (2.12) with i = 1, 2, 3 gives

$$\begin{split} A_2 &= A_1 \left(\frac{1}{\alpha p} - 1 \right), \\ A_3 &= A_2 \left(\frac{1}{\alpha pq} - 1 \right) - A_1 \\ &= A_1 \left(\left(\frac{1}{\alpha p} - 1 \right) \left(\frac{1}{\alpha pq} - 1 \right) - 1 \right), \\ A_4 &= A_3 \left(\frac{1}{\alpha pq^2} - 1 \right) - A_1 - A_2 \\ &= A_1 \left[\left(\frac{1}{\alpha p} - 1 \right) \left(\frac{1}{\alpha pq} - 1 \right) \left(\frac{1}{\alpha pq^2} - 1 \right) - \left(\frac{1}{\alpha pq^2} - 1 \right) - \frac{1}{\alpha p} \right]. \end{split}$$

By subtraction we can rewrite (2.12) as

$$A_{i+1} = \frac{1}{\alpha n a^{i-1}} (A_i - q A_{i-1}), \quad i \ge 1, \tag{2.13}$$

where we define $A_0 = \alpha pq^{-1}A_1$.

Proposition 3.1 For all $i \geq 2$,

$$\frac{A_i}{A_{i-1}} = (\alpha pq^{i-2})^{-1} - \frac{(\alpha pq^{i-3})^{-1}}{(\alpha pq^{i-3})^{-1} - \frac{(\alpha pq^{i-4})^{-1}}{(\alpha pq^{i-4})^{-1} - \frac{\cdot}{(\alpha pq)^{-1} - \frac{(\alpha p)^{-1}}{(\alpha pq^{i-1})^{-1}}}}.$$

Proof From (2.13) we obtain that

$$\frac{A_i}{A_{i-1}} = \frac{1}{\alpha pq^{i-2}} - \frac{1}{\alpha pq^{i-3}} \frac{1}{\frac{A_{i-1}}{A_{i-2}}},$$

for all $i \geq 2$. Applying the above recurrence with using the initial condition that $A_1/A_0 = q/(\alpha p)$, we get the desired result.

Note that the ratio $\frac{A_i}{A_{i-1}}$ is given by a finite continued fraction. Actually, if we rewrite (2.13) in different way as

$$\frac{A_{i-1}}{A_i} = \frac{1}{q} - \frac{\alpha pq^{i-1}}{\frac{A_i}{A_{i+1}}}.$$

Applying this infinite number of times we obtain that the ratio $\frac{A_{i-1}}{A_i}$ is given by infinite continued fraction as

$$\frac{A_{i-1}}{A_i} = q^{-1} - \frac{\alpha p q^{i-1}}{q^{-1} - \frac{\alpha p q^i}{q^{-1} - \frac{\alpha p q^{i+1}}{q^{-1}}}}.$$

Thus all the constants A_i can be expressed in terms of A_1 which can be numerically calculated for each q using (2.10), see Figure 1.

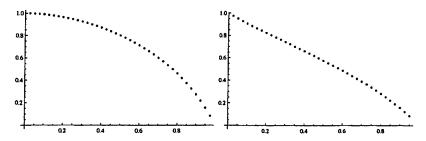


Figure 1: The functions α_q^{-1} and $A_{1,q}$ for 0 < q < 1.

3 Extensions to words and compositions

In this section we present two extensions of the main results of the previous section, to up-smooth words over the alphabet [k] and to compositions of n.

3.1 Up-smooth words

Let $W_k(y;i)$ be the generating function for the number up-smooth words $\pi_1\pi_2\cdots\pi_n$ of length n over alphabet $[k]=\{1,2,\ldots,k\}$ such that $\pi_1=i$. Define $W_k(y,z)=\sum_{i=1}^k W_k(y;i)z^{i-1}$.

Lemma 4 For all $k \geq 0$,

$$W_k(y,0) = \frac{U_{k-1}\left(\frac{1}{2\sqrt{y}}\right)}{U_{k+1}\left(\frac{1}{2\sqrt{y}}\right)},$$

where U_k is the k-th Chebyshev polynomials of the second kind.

Proof Extending the proof of Lemma 2 to the case of up-smooth words over the alphabet [k], (2.9) gives that the generating function $W_k(y,0)$ satisfies

$$W_k(y,0) = \frac{y}{\frac{1}{W_{k-1}(y,0)+1} - y}, \quad W_0(y,0) = 0.$$

Now the proof proceeds by induction on k. Since $U_{-1}(t) = 0$ and $U_0(t) = 1$ then the lemma holds for k = 0. Assume that the lemma holds for k - 1 and let us prove it for k. Let $t = \frac{1}{2\sqrt{y}}$, by the above recurrence and the induction hypothesis we have

$$W_k(y,0) = \frac{y}{\frac{1}{U_{k-2}(t)} - y} = \frac{y(U_k(t) + U_{k-2}(t))}{(1-y)U_k(t) - yU_{k-2}(t)}.$$

Using the fact that the Chebyshev polynomials of the second kind satisfy the recurrence relation

$$U_k(t) = 2tU_{k-1}(t) - U_{k-2}(t), (3.1)$$

we obtain

$$W_k(y,0) = \frac{\sqrt{y}U_{k-1}(t)}{U_k(t) - \sqrt{y}U_{k-1}(t)} = \frac{U_{k-1}(t)}{U_{k+1}(t)},$$

which completes the proof.

Similar arguments as in the proof of Lemma 2 for the case up-smooth words lead to

$$W_k(y,z) = y \frac{1-z^k}{1-z} (1 + W_k(y,0)) + y \sum_{j=2}^k \frac{z^{j-2}-z^k}{1-z} W_k(y;j),$$

which is equivalent to

$$W_k(y,z) = y \frac{1-z^k}{1-z} - \frac{y}{z} W_k(y,0) + \frac{y}{z(1-z)} W_k(y,z) - \frac{z^k y}{1-z} W_k(y,1).$$

In order to solve this function equation we use the kernel method. In other words, if we substitute y = z(1-z) then we obtain that

$$W_k(y,1) = \frac{1}{z^{k+1}}(z(1-z^k) - (1-z)W_k(z(1-z),0)).$$

Hence, by Lemma 4 we have

$$\begin{split} &W_k(z(1-z),1) \\ &= -1 + \frac{1}{z^{k+1}} \left(\frac{zU_{k+1}\left(\frac{1}{2\sqrt{z(1-z)}}\right) - (1-z)U_{k-1}\left(\frac{1}{2\sqrt{z(1-z)}}\right)}{U_{k+1}\left(\frac{1}{2\sqrt{z(1-z)}}\right)} \right). \end{split}$$

Using the fact that

$$zU_{k+1}\left(\frac{1}{2\sqrt{z(1-z)}}\right) - (1-z)U_{k-1}\left(\frac{1}{2\sqrt{z(1-z)}}\right) = \frac{z^{k+1}}{\sqrt{z(1-z)}^{k+1}},$$

which can be proven by induction on k by using (3.1), we obtain the following result.

Theorem 5 The generating function for the number of up-smooth words of length n over the alphabet [k] is given by

$$W_k(y,1) + 1 = \frac{1}{\sqrt{y^{k+1}}U_{k+1}\left(\frac{1}{2\sqrt{y}}\right)},$$

where U_k is the k-th Chebyshev polynomials of the second kind.

The above theorem and Lemma A.1 in [6] give that

$$\begin{split} W_k(y,1) + 1 \\ &= \frac{2}{(k+2)\sqrt{y^k}} \sum_{j=1}^{k+1} \frac{(-1)^j \sin^2(j\pi/(k+2))}{1 - 2\sqrt{y}\cos(j\pi/(k+2))} \\ &= \sum_{s>0} \frac{2^{s+1}}{k+2} \sum_{j=1}^{k+1} (-1)^j \sin^2(j\pi/(k+2)) \cos^s(j\pi/(k+2)) \sqrt{y^{s-k}}, \end{split}$$

which, by finding the coefficient of y^n , implies the following result.

Theorem 6 The number of up-smooth words of length n over the alphabet [k] is given by

$$\frac{2^{2n+1+k}}{k+2} \sum_{j=1}^{k+1} (-1)^j \sin^2(j\pi/(k+2)) \cos^{2n+k}(j\pi/(k+2)).$$

Up-smooth compositions 3.2

A composition $\pi = \pi_1 \pi_2 \cdots \pi_m$ of n is a word over alphabet $\mathbb N$ such that $\pi_1 + \pi_2 + \cdots + \pi_m = n$. Let $F_i(x,z)$ be the generating function for the number of up-smooth compositions of n with m parts and first part equal to i, that is,

$$F_i(x,z) = \sum_{n,m \geq 0} \sum_{\pi = i\pi_2 \cdots \pi_m} x^n z^m,$$

where the internal sum is over all up-smooth compositions $i\pi_2\cdots\pi_m$ of n with m parts. Replacing pq^{i-1} by x^i in Theorem 1 and Lemma 2, we obtain the following results.

Theorem 7 The generating function for the number of up-smooth compositions of n with m parts and first part equal to i is given by

$$F_i(x,z) = \frac{\sum_{j\geq 1} \frac{z^j(-1)^{j-1} x^{j^2-j+ij}}{(x;x)_{j-1}}}{1 - \sum_{j\geq 1} \frac{z^j(-1)^{j-1} x^{j^2}}{(x;x)_j}}.$$
(3.2)

Theorem 8 The generating function for the number of up-smooth compositions of n with m parts and first part equal to 1 is given by

The generating function for the number of up-si with m parts and first part equal to 1 is given by
$$F_1(x,z) = \frac{xz}{-xz + \frac{1}{1 + \frac{x^3z}{-x^3z + \frac{1}{1 + \frac{x^3z}{-x^3z + \frac{1}{1 + \frac{x^3z}{1 + \frac{x^3z$$

Smooth geometric words

Let c(m) be the probability that a geometric word π with m letters is smooth (i.e. $|\pi_{i+1} - \pi_i| \le 1$, for all i = 1, 2, ..., m-1), and let C(z) denote the generating function of the numbers c(m),

$$C(z) = \sum_{m \geq 0} c(m) z^m.$$

For example,

$$c(3) = \sum_{i=1}^{\infty} pq^{i-1} \sum_{j=\max(1,i-1)}^{i+1} pq^{j-1} \sum_{k=\max(1,j-1)}^{j+1} pq^{k-1} = p^2(1+2q).$$

In this section we obtain a formula for C(z). The adding-a-new-slice technique does not work in this case, so we use a different approach.

Let π be a geometric sample and denote by $parts_i(\pi)$ the number of occurrences of the integer i as a part of π . Then each sample π with m parts and $parts_1(\pi) = d$ can be represented as

$$\pi^{(0)}1\pi^{(1)}1\cdots\pi^{(d-1)}1\pi^{(d)}$$
 with $d>0$,

where $\pi^{(j)}$ is a geometric word over the alphabet $\{2, 3, \ldots\}$. We refer to this representation as the *d-minimal part decomposition*. The contribution to the generating function C(z) of the 0-minimal part decomposition is C(qz), and the contribution of a *d*-minimal part decomposition, $d \ge 1$, gives

$$(pz)^d E(qz) B(qz) (EB(qz))^{d-1},$$

where E(z) (respectively B(z), EB(z)) is the generating function for the number of geometric samples π with m parts such that $\pi 0$ (respectively, 0π , $(0\pi 0)$ is a smooth sample. Clearly, by the reversal operation $\pi_1 \cdots \pi_m \mapsto \pi_m \cdots \pi_1$, we have that B(z) = E(z). Thus C(z) satisfies the relation

$$C(z) = C(qz) + \frac{pz(E(qz))^2}{1 - pzEB(qz)}.$$
 (4.1)

Next we find a relationship between the generating functions E(z) and EB(z). By rewriting the d-minimal part decomposition of a smooth sample π such that $\pi 0$ is also a smooth sample, π can be represented as

$$\pi^{(0)}1\pi^{(1)}1\cdots\pi^{(d-1)}1\pi^{(d)}0$$
,

with $d \geq 0$ and $\pi^{(d)} = \emptyset$. Now we consider the function E(z). The 0-maximal part decomposition contributes just 1 (the empty word), while the d-minimal part decomposition, $d \geq 1$, gives $(pz)^d E(qz)(EB(qz))^{d-1}$. Hence

$$E(z) = 1 + \frac{pzE(qz)}{1 - pzEB(qz)}.$$
 (4.2)

Also for EB(z), we rewrite the d-minimal part decomposition for a smooth geometric word π such that $0\pi0$ is also a smooth word, and obtain a representation of π in the form

$$0\pi^{(0)}1\pi^{(1)}1\cdots\pi^{(d-1)}1\pi^{(d)}0$$
,

with $d \ge 0$ and $\pi^{(0)} = \pi^{(d)} = \emptyset$. Thus the contribution of the 0-minimal part decomposition is 1, that of the 1-minimal part decomposition is pz (the word

1), and that of a d-minimal part decomposition, $d \ge 2$, is $(pz)^d (EB(qz))^{d-1}$. Thus

$$EB(z) = 1 + pz + \frac{(pz)^2 EB(qz)}{1 - pz EB(qz)} = 1 + \frac{pz}{1 - pz EB(qz)}.$$
 (4.3)

On applying the relation (4.3) an infinite number of times, we obtain the following result.

Lemma 9 The generating function EB(z) is given by

$$EB(z) = 1 + \frac{pz}{1 - pz - \frac{p^2qz^2}{1 - pqz - \frac{p^2q^3z^2}{1 - pq^2z - \frac{p^2q^5z^2}{1 - pq^3z - \ddots}}}}.$$

Using Lemma 9 together with (4.2) we find an explicit formula for E(z).

Lemma 10 The generating function E(z) is given by

$$E(z) = 1 + \sum_{j=1}^{\infty} \frac{p^{j} q^{\binom{j}{2}} z^{j}}{\prod_{i=1}^{j} a_{i,j}(z)},$$

where

$$a_{i,j}(z) = 1 - pq^{i-1} - \frac{pq^{2i-1}z}{1 - pq^{i}z - \frac{p^2q^{2i+1}z^2}{1 - pq^{i+1}z - \frac{p^2q^{2i+3}z^2}{1 - pq^{i+2}z - \frac{p^2q^{2i+5}z^2}{1 - pq^2z - \frac{p^2q^{2i+5}z^2}{1 - pq^2z - \frac{p^2q^2z^2}{1 - pq^2z}}}}}}$$

Then Lemma 10 together with (4.1) and (4.2) gives the following result for the function C(z).

Theorem 11 The generating function C(z) is given by

$$C(z) = 1 + \sum_{j=1}^{\infty} E(q^{j}z)(E(q^{j-1}z) - 1),$$

where E(z) is given in Lemma 10.

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