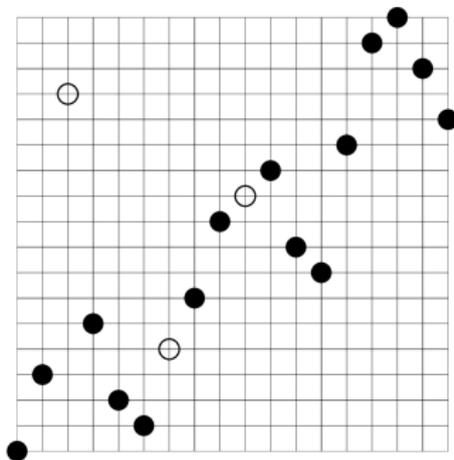


# On permutation patterns with constrained gap sizes



Stoyan Dimitrov

University of Illinois at Chicago  
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## Definition 1

$\pi = \pi_1\pi_2 \cdots \pi_n \in Av(1\Box 2)$ ,  
if there is no  $0 < i < j - 1 < n$  with  $\pi_i < \pi_j$ ,  
i.e., the  $\Box$  denotes a gap of minimal size 1.

Example: 24 is an occurrence of  $1\Box 2$  in  $\pi = 25341$ , but 34 is not.

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*i.e., the  $(n + 1)$ st Fibonacci number.*

**What about  $Av_n(1\Box_r 2)$ , where  $\Box_r$  denotes a gap of minimal size  $r$ ?**

## Definition 2 (Distant pattern (DP))

A Permutation Pattern (PP) containing  $\square_r$  symbols, where  $r \geq 0$ .  
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Examples:

- 235 is an occurrence of  $1\square_223$  in  $\pi = 7264135$ , but 245 is not.
- 523 is an occurrence of  $\square_31\square_32$  in  $\pi = 6521473$ , but 623 is not.

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In fact, every DP can be written as:

$$\square_{r_0} q_1 \square_{r_1} q_2 \square_{r_2} \cdots \square_{r_{k-1}} q_k \square_{r_k},$$

where  $r_i \geq 0$  and  $q_1 q_2 \cdots q_k$  is a  $k$ -permutation.

- ▶  $Av_n(q)$  and  $Av_n(\Pi)$  - the set of permutations in  $S_n$  avoiding the pattern  $q$  and all the patterns in the set  $\Pi$ , respectively.
  - ▶ *gap* and *gap size* - the space between two consecutive letters of a pattern and its size.
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- ▶ *size of a DP* - the number of non-□ letters in it.
- ▶ *vincular DPs* - DPs with tight constraints, e.g.,  $1 \square_4 23$  denotes the pattern 123 with gap size exactly 4 between the letters 1 and 2.
- ▶ *uniform DPs* - the same minimal gap size constraint for all the gaps. If  $q = q_1 \dots q_k$ , then denote  $dist_r(q) = q_1 \square_r \dots \square_r q_k$ .

- ▶ 2005, "Partially ordered generalized patterns", S.Kitaev [15]
  - a generalization of DPs considered in a series of papers [10, 13, 14, 15, 16, 17, 18], including a recent one by Kitaev and Gao [9].
- ▶ 2007, "Distanced patterns", PhD Thesis, G.Firro [6]
  - another generalization of DPs which allows requiring a gap size to be  $\leq r$ .
  - based on works with Mansour [7, 8] establishing a bijection between the permutations in  $Av_n(1 \square 23)$  and certain set of dissections of an  $(n + 2)$ -gon.
- ▶ 2016, Hopkins and Weiler ([11])
  - their work imply a result on uniform distant patterns.

- I. Two basic facts about DPs.
- II. DPs of size 2. Answer to the motivating question.
- III. DPs of size 3 and the enumeration of  $|Av_n(1\Box 3\Box 2)|$ .

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- IV. Vincular DPs and a surprising relation between  $Av_n(123)$  and  $Av_n(132)$ .
- V. Proofs of two conjectures using DPs.
- VI. Stanley-Wilf analogues for DPs and some open questions.

Reducing avoidance of DPs to avoidance of classical patterns:

## Theorem 2

*The avoidance of  $q = \square_{r_0} q_1 \square_{r_1} q_2 \square_{r_2} \cdots \square_{r_{k-1}} q_k \square_{r_k}$ , where*

*$\sum_{j=0}^k r_j = S$ , is equivalent to the simultaneous avoidance of  $\frac{(S+k)!}{k!}$*

*classical patterns of size  $S + k$ .*

What if a DP starts or ends with squares?:

## Theorem 3

*For any  $r_1, r_2 > 0$  and a distant pattern  $q$ ,*

$$|Av_n(\square_{r_1} q \square_{r_2})| = \frac{n!}{(n-r)!} |Av_{n-r}(q)|,$$

*where  $r := r_1 + r_2$ .*

Obviously,  $|Av_n(2\Box_r 1)| = |Av_n(1\Box_r 2)|$  for each  $r \geq 0$ . Furthermore,

**Theorem 4** (see A276837 in OEIS)

*The permutations in  $Av_n(2\Box_r 1)$  are in one-to-one correspondence with the permutations in  $S_n$  for which, when written in a cycle notation, any two elements in a cycle differ by at most  $r$ .*

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**Proof:** We construct a bijection.

**Example:**

$$n = 9, r = 3,$$

$352149867 \in Av_9(2\Box_3 1)$  maps to  $(134)(25)(6798)$ ,

which does not have  $a, b$  in the same cycle, s.t.  $|a - b| > 3$ .

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This answers our initial motivating question!

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Try to see such using a simple algorithm:

1. Take  $\pi$  containing 12 and  $j \in [n]$ .
2. Insert  $j$  immediately after the 1 in the leftmost 12-pattern occurrence in  $\pi$ .
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Let  $C_n(q)$  be the set of permutations containing  $q$ .

The algorithm above defines a map

$$g : C_{n-1}(12) \times [n] \rightarrow C_n(1\Box 2).$$

Example:

$$\pi = 3412 \in C_4(12), j = 2,$$

$$g(3412, 2) = 42513 \in C_5(1 \square 2).$$

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Example:

$$\begin{aligned}\pi &= 3412 \in C_4(12), j = 2, \\ g(3412, 2) &= 42513 \in C_5(1 \square 2).\end{aligned}$$

One problem: the map  $g$  is neither injective, nor surjective.

However, if  $t(\omega) = |g^{-1}(\omega)|$  denotes the number of different tuples  $(\pi, j) \in C_{n-1}(12) \times [n]$ , such that  $g(\pi, j) = \omega$ , then the following facts hold:

- i.  $t(\omega) \leq 2$ , for each  $\omega \in C_n(1 \square 2)$ .
- ii.  $t(\omega) = 2$  for exactly:

$$\sum_{j=3}^{n-1} (j-2)(n-j)(n-j)!$$

permutations  $\omega \in C_n(1 \square 2)$ .

- iii.  $t(\omega) = 0$  for exactly:

$$\sum_{k=3}^{n-2} (F_{n-k+1} - 1)k(k-2)(k-2)!$$

permutations  $\omega \in C_n(1 \square 2)$ .

Using the map  $g$ , the facts (i) – (iii) and Inclusion-Exclusion, we get:

$$|Av_n(1 \square 2)| = F_{n+1} = n + \sum_{k=1}^{n-3} (n - (k + 2)F_{n-(k+1)}) \cdot k \cdot k!.$$

Consider DPs of size 3 with one square.

According to works of Firro and Mansour [6, 7, 8], there is a single Wilf-equivalent class:

$$|Av_n(xy \square z)| = \sum_{k \geq 0} \frac{1}{n-k} \binom{2n-2k}{n-1-2k} \binom{n-k}{k},$$

for every  $xyz \in S_3$ .

Consider DPs of size 3 with two squares of the kind  $x \square y \square z$ .

There are two Wilf-equivalent classes for these patterns:

Class 1:  $\{1 \square 2 \square 3, 3 \square 2 \square 1\}$

and

Class 2:  $\{1 \square 3 \square 2, 2 \square 3 \square 1, 2 \square 1 \square 3, 3 \square 1 \square 2\}$ .

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We will describe a way to find the ordinary generating function for  $|Av_n(1 \square 3 \square 2)|$ , i.e., how to enumerate the avoidance sequence for a pattern in Class 2.

Let  $q = 1\Box 3\Box 2$ . Steps to find  $G(x) = \sum_{n \geq 0} |Av_n(q)|x^n$ :

1. Determine five possible block decompositions for  $\pi = \alpha n \beta \in Av_n(q)$ . [21, Mansour and Vainshtain]
2. Transform the decompositions from step 1 to the equation:

$$G = 1 + G(xH_1 + x^3H_1 + xH_2) + G^2(x - 2x^2 - x^3 - x^4), \quad (*)$$

where  $H_i(x)$  are the generating functions for the number of permutations of size  $n$  in  $\mathbb{H}_i$  ( $i = 1, 2$ ) and where

$\mathbb{H}_1 := \{ \pi \mid \pi \in Av(q), |\pi| \geq 1 \text{ and } \pi \text{ does not have an occurrence of } 1\Box \underline{3}2 \text{ ending at the last position of } \pi \}$

and

$\mathbb{H}_2 := \{ \pi \mid \pi \in Av(q), |\pi| \geq 1 \text{ and } \pi \text{ does not have an occurrence of } \underline{1}3\Box 2 \text{ beginning at the first position of } \pi \}$ .

3. Define two additional gen.functions  $T_0$  and  $T_1$  and obtain the following relations, where  $X \rightarrow \{A, B, C\}$  means that  $X$  can be written as an expression of  $A, B$  and  $C$ :

▶  $H_2 \rightarrow \{G, H_1, T_0, T_1\}$

▶  $H_1 \rightarrow \{G, H_2\}$

▶  $T_0 \rightarrow \{G, H_2\}$

▶  $T_1 \rightarrow \{G, H_1, H_2\}$

Note 1: Substituting the expressions for  $H_1, T_0, T_1$  into the first listed expression, as well as the one for  $H_1$  in (\*) gives us a system of two relations between  $H_2$  and  $G$ .

Note 2: A main tool for obtaining the above expressions is a lemma involving the so-called *push* operation:

$$push(\tau, \sigma) := \sigma[\tau, 1, 1, \dots, 1].$$

i.e., considering the graph of  $\sigma$ , we replace its first element with the graph of  $\tau$  (we push  $\tau$ ).

Note 3: The lemma shows that one can find the generating function for the number of permutations in the image of the map  $push(\tau, \sigma)$  when  $\tau \in U_1 \subseteq \mathbb{H}_2$ ,  $\sigma \in U_2 \subseteq \mathbb{H}_2$  and under certain conditions for  $U_1, U_2$ .

Note 4: To obtain that  $X \rightarrow \{A, B, C\}$ , we usually decompose the set of permutations corresponding to  $X$  into blocks, where some blocks are of the kind  $push(\tau, \sigma)$  for  $\tau \in U_1 \subseteq \mathbb{H}_2$ ,  $\sigma \in U_2 \subseteq \mathbb{H}_2$  and given  $U_1, U_2$ . We can find the generating functions for all blocks.

4. Following step 3, we obtain an equation  $P(x, G(x)) = 0$ , where  $P$  is a polynomial of  $G(x)$  with coefficients - polynomials of  $x$ .  $P$  has 170 terms with the term of highest total degree being  $x^{27}G^{12}$ :

$$\begin{aligned}(x^2 + x^4) + G(x^6 + x^8) + G^2(-x^2 + 3x^3 - \dots - x^{10}) + \\ \dots + \dots \\ + G^{12}(-x^{12} - x^{13} - \dots - 3x^{26} - x^{27}) = 0\end{aligned}$$

5. In order to get a closed form expression for  $G(x)$ , one could use a generalization of the Lagrange inversion formula [2, Baderier and Drmota].

We classify the patterns of the form  $\underline{ab}\square c$  and  $a\square\underline{bc}$ :

Class 1	Class 2	Class 3
$\underline{12}\square 3$	$1\square\underline{32}$	$\underline{13}\square 2$
$\underline{32}\square 1$	$\underline{21}\square 3$	$\underline{31}\square 2$
$1\square\underline{23}$	$\underline{23}\square 1$	$2\square\underline{31}$
$3\square\underline{21}$	$3\square\underline{12}$	$2\square\underline{13}$

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$\underline{32}\square 1$	$\underline{21}\square 3$	$\underline{31}\square 2$
$1\square\underline{23}$	$\underline{23}\square 1$	$2\square\underline{31}$
$3\square\underline{21}$	$3\square\underline{12}$	$2\square\underline{13}$

The Wilf-equivalent classes of  $\underline{ab}\square c$  and  $a\square\underline{bc}$  patterns.

Motivation: Every occurrence of the classical pattern 123 is an occurrence of a pattern in  $\{\underline{123}, 1\square\underline{23}, \underline{12}\square 3, 1\square 2\square 3\}$ .

Are these patterns avoided by less or by more permutations compared to their 132 counterparts?

Class 1:

### Theorem 5

If  $a_n = |Av_n(\underline{12}\square 3)|$ , then  $a_n = n!$  for  $0 \leq n \leq 3$ , and for  $n \geq 4$ ,

$$a_n = a_{n-1} + (n-1)a_{n-2} + \frac{(n+1)(n-2)}{2}a_{n-3} + \sum_{i=4}^{n-1} \left( \binom{n}{i-1} - 1 \right) a_{n-i} + (n-1).$$

Class 2:

### Theorem 6

If  $b_n = |Av_n(1 \square 32)|$ , then  $b_n = n!$  for  $0 \leq n \leq 3$  and for  $n \geq 4$ ,

$$b_n = b_{n-1} + (n-1)b_{n-2} + \frac{(n+1)(n-2)}{2}b_{n-3} + \sum_{i=2}^{n-3} \left( i \binom{n-2}{i} + \binom{n-1}{i-1} \right) b_{i-1} + (n-1).$$

Theorem 5 and Theorem 6 were proved via a method similar to Insertion-Encoding [1, Albert et al.].

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Class 3:

**Theorem 7**

*For all  $n \in \mathbb{Z}^+$ ,  $Av_n(\underline{13}\square 2) = Av_n(13\square 2)$ , which implies that  $|Av_n(\underline{13}\square 2)| = |Av_n(13\square 2)|$  [A04912 in OEIS].*

Furthermore, somewhat complicated inductive arguments give us:

### Theorem 8

*For all  $n \geq 5$ ,  $|Av_n(1 \square \underline{23})| < |Av_n(1 \square \underline{32})|$ .*

### Theorem 9

*For all  $n \geq 5$ ,  $|Av_n(\underline{12} \square 3)| > |Av_n(\underline{13} \square 2)|$ .*

Furthermore, somewhat complicated inductive arguments give us:

### Theorem 8

*For all  $n \geq 5$ ,  $|Av_n(1\underline{\square}2\underline{3})| < |Av_n(1\underline{\square}3\underline{2})|$ .*

### Theorem 9

*For all  $n \geq 5$ ,  $|Av_n(\underline{1}2\underline{\square}3)| > |Av_n(\underline{1}3\underline{\square}2)|$ .*

We also have:

### Theorem 10 (Elizalde, 2003, [5])

*For all  $n \geq 4$ ,  $|Av_n(\underline{1}2\underline{3})| > |Av_n(\underline{1}3\underline{2})|$ .*

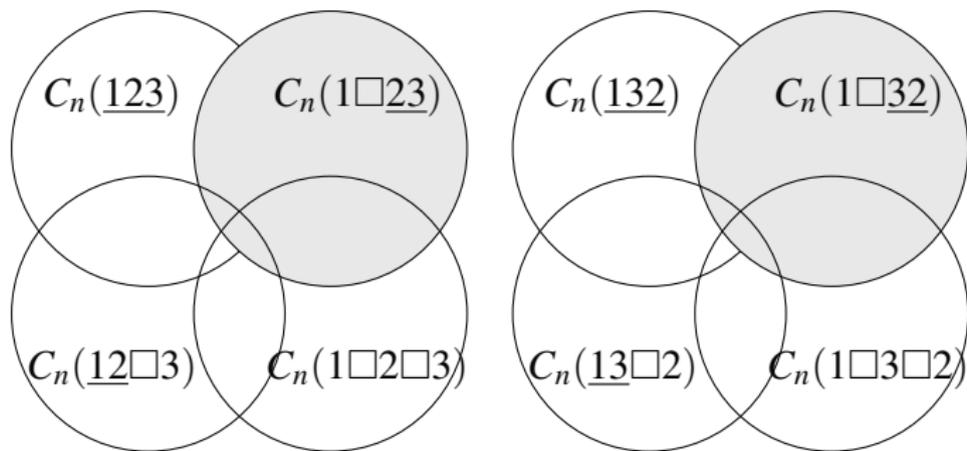
### Theorem 11 (Hopkins and Weiler, 2016, [11])

*For  $n > 5$ ,*

$$|Av_n(1\underline{\square}2\underline{\square}3)| > |Av_n(1\underline{\square}3\underline{\square}2)|.$$

These facts show that  $1 \square \underline{23}$  is the only pattern in  $\{\underline{123}, 1 \square \underline{23}, \underline{12} \square 3, 1 \square 2 \square 3\}$  avoided by fewer permutations of size  $n$ , compared to its counterpart  $1 \square \underline{32}$ .

This is somewhat surprising given that  $|Av_n(123)| = |Av_n(132)|$ .



Venn diagrams for the  $n$ -permutations containing  $123$  and  $132$

DPs turned out to be useful when interpreting other results. Below is a conjecture of Kuzmaul that we proved using an interpretation with DPs:

Theorem 12 (conjectured by Kuzmaul, 2018, [20])

*The generating function of*

$$|Av_n(2431, 2143, 3142, 4132, 1432, 1342, 1324, 1423, 1243)|$$

*is given by  $C + x^3C$ , where  $C$  is the generating function for the Catalan numbers.*

Sketch of the proof:

Let  $\Pi = \{2431, 2143, 3142, 4132, 1432, 1342, 1324, 1423, 1243\}$ .

– Note that

$$\Pi = \{\square 132, 132\square, 1342\}.$$

– If  $\sigma \in Av_n(132)$ , then  $\sigma \in Av_n(\Pi)$ .

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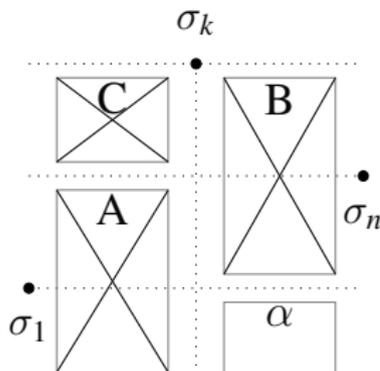
–  $|Av_n(132)|$  has generating function  $C$  [19, Knuth].

It remains to find the generating function for those  $\sigma \in Av_n(\Pi)$  containing 132.

– Let  $\sigma = \sigma_1\sigma_2 \cdots \sigma_n$  be one such permutation. Note that any occurrence of 132 in  $\sigma$  must be  $\sigma_1\sigma_j\sigma_n$  for some  $2 \leq j \leq n-1$ .

Sketch of the proof (cont.):

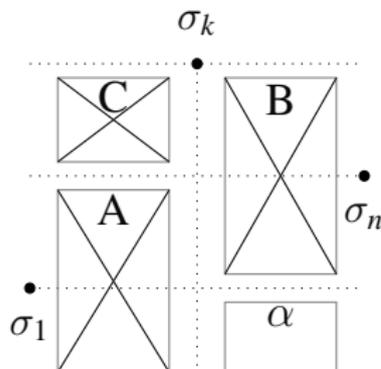
- Consider the graph of one such  $\sigma$ :



- We show that the regions  $A$ ,  $B$  and  $C$  are empty.

Sketch of the proof (cont.):

- Consider the graph of one such  $\sigma$ :



- We show that the regions  $A$ ,  $B$  and  $C$  are empty.
- Therefore,  $\sigma = \sigma_1\sigma_2\alpha\sigma_n$ , for some sequence of numbers  $\alpha$ , where  $\alpha < \sigma_1 < \sigma_n < \sigma_2$  and  $\alpha \in Av(132)$ .  
This is where the  $x^3C$  term comes from!

Note: The same structure, for the decomposition of the permutations in  $Av(\Pi)$ , was recently found with a computer by Bean et al. [3, 2019] who used a particular algorithm called the *Struct algorithm*.

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The second conjecture of Kuzmaul that we proved is given below:

### Theorem 13

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$$|Av_n(2431, 2413, 3142, 4132, 1432, 1342, 1324, 1423)|$$

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We have found interpretations with DPs to four of the other conjectures stated in the same work [20].

Since avoidance of DPs is equivalent to avoidance of multiple classical patterns (see Theorem 2), it is easy to prove the following Stanley-Wilf type result for DPs:

#### Theorem 14

*For any distant pattern  $q$ , there exists a constant  $c_q > 0$ , such that*

$$\sqrt[n]{|Av_n(q)|} \xrightarrow{n \rightarrow \infty} c_q.$$

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Recall that  $dist_r(q) = q_1 \square_r \dots \square_r q_k$  for a classical pattern  $q = q_1 \dots q_k$ .

**What about  $\lim_{n \rightarrow \infty} \sqrt[n]{|Av_n(dist_r(q))|}$ , when  $r$  increases with  $n$ ?**

First, let us consider the case when the gap size constraint  $r$  is a fixed fraction of  $n$ :

### Proposition 1

*For any given classical pattern  $q$ , there exist constants  $c > 0$  and  $0 < c_1 < 1$ , such that*

$$\sqrt[n]{|Av_n(dist_r(q))|} \xrightarrow[r=\lfloor c_1 n \rfloor]{n \rightarrow \infty} c$$

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We refute this Proposition using Theorem 4.

In particular, we show that  $Av_n(1 \square_r 2) = \Omega(C^n)$  for any  $C > 0$ .

What if  $r$  is  $o(n)$ , e.g., a function of the kind  $n^{c_2}$ , for  $0 < c_2 < 1$ ?

### Conjecture 1

*For any given classical pattern  $q$ , there exist  $c_q > 0$  and  $0 < c_2 < 1$ , such that*

$$\sqrt[n]{|Av_n(dist_r(q))|} \xrightarrow[r=\lfloor n^{c_2} \rfloor]{n \rightarrow \infty} c_q$$

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A few other natural conjectures on DPs are listed in the paper:  
<https://arxiv.org/abs/2002.12322>

**Thanks for the attention!**

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