

# Pattern avoidance

## An explanation and proof

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Introduction

Avoidance in  $S_n$

Avoidance of 312

The Reversing  
Lemma

The Flipping Lemma

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permutations in  $S_3$

Conjectures on  $S_4$

Avoidance in  $T_n$

A permutation of a finite set  $\{1, \dots, n\}$  is some *ordering* of the elements.

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$$54123 \in S_5$$

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54123

includes

$$\left\{ \begin{array}{l} 123 \\ 312 \\ 4312 \end{array} \right.$$

avoids

$$\left\{ \begin{array}{l} 132 \\ 312 \\ 213 \\ 231 \end{array} \right.$$

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Let  $\pi = 312 \in S_3$ .

- Question: How many permutations avoid  $\pi$ ? (a lot)
- Better Question: How many permutations in  $S_n$  avoid  $\pi$ ?

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- How many permutations in  $S_1$  avoid  $\pi$ ?



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- How many permutations in  $S_1$  avoid  $\pi$ ? **1**

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- How many permutations in  $S_1$  avoid  $\pi$ ? **1**
- How many permutations in  $S_2$  avoid  $\pi$ ?

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- How many permutations in  $S_4$  avoid  $\pi$ ? ??????

# Permutations in $S_4$ that avoid $\pi = 312$ ?

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How many permutations in  $S_4$  avoid  $\pi$ ?



Permutations in  $S_4$  that avoid  $\pi = 312$ ?

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How many permutations in  $S_4$  avoid  $\pi$ ?

1234 1243 1324 1342 1423 1432

2134 2143 2314 2341 2413 2431

3124 3142 3214 3241 3412 3421

4123 4132 4213 4231 4312 4321

Permutations in  $S_4$  that avoid  $\pi = 312$ ?

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How many permutations in  $S_4$  avoid  $\pi$ ? 14

1234 1243 1324 1342 1423 1432

2134 2143 2314 2341 2413 2431

3124 3142 3214 3241 3412 3421

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## Definition

Let  $a_n(\pi)$  be the number of permutations in  $S_n$  that avoid  $\pi$ .

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We want to compute the sequences  $(a_n(\pi))$  for some  $\pi \in S_k$ .

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We want to compute the sequences  $(a_n(\pi))$  for some  $\pi \in S_k$ .

Example:  $(a_n(312)) = 1, 2, 5, 14,$

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We want to compute the sequences  $(a_n(\pi))$  for some  $\pi \in S_k$ .

Example:  $(a_n(312)) = 1, 2, 5, 14, 42, 132, 429, \dots$

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## Theorem

*For  $\pi \in S_3$ ,  $(a_n(\pi))$  is equal to the Catalan numbers:*

$$(a_n(\pi)) = 1, 2, 5, 14, 42, 132, 429 \dots$$

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$$(a_n(\pi)) = \begin{cases} A := 1, 2, 6, 23, 103, 512, 2740, 15485, 91245 \dots \end{cases}$$



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$$(a_n(\pi)) = \begin{cases} A := 1, 2, 6, 23, 103, 512, 2740, 15485, 91245 \dots \\ B := 1, 2, 6, 23, 103, 513, 2761, 15767, 94359 \dots \end{cases}$$

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$$(a_n(\pi)) = \begin{cases} A := 1, 2, 6, 23, 103, 512, 2740, 15485, 91245 \dots \\ B := 1, 2, 6, 23, 103, 513, 2761, 15767, 94359 \dots \\ C := 1, 2, 6, 23, 103, 513, 2762, 15793, 94776 \dots \end{cases}$$

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permutations in  $S_3$ Conjectures on  $S_4$ Avoidance in  $T_n$ What if we take  $\pi \in S_4$ ?

$$(a_n(\pi)) = \begin{cases} A := 1, 2, 6, 23, 103, 512, 2740, 15485, 91245 \dots \\ B := 1, 2, 6, 23, 103, 513, 2761, 15767, 94359 \dots \\ C := 1, 2, 6, 23, 103, 513, 2762, 15793, 94776 \dots \end{cases}$$

????

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Let's first look at some examples of permutations that don't avoid 312!

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## Example

1 2 6 5 3 4

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1 2 6 5 3 4  $\implies$  126534 does not avoid 312

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1 5 6 3 2 4

Let's first look at some examples of permutations that don't avoid 312!

## Example

1 2 **6** 5 **3** **4**  $\implies$  126534 does not avoid 312

## Example

1 **5** 6 **3** 2 **4**  $\implies$  156324 does not avoid 312



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How about some permutations that do avoid 312?

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## Example

1 2 3 6 5 4

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1 2 3 6 5 4  $\implies$  123654 avoids 312

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1 2 3 6 5 4  $\implies$  123654 avoids 312

## Example

2 1 4 5 6 3

How about some permutations that do avoid 312?

## Example

1 2 3 6 5 4  $\implies$  123654 avoids 312

## Example

2 1 4 5 6 3  $\implies$  214563 avoids 312

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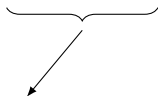
**Do the permutations that avoid 312 have any special properties?**

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1      2      3      6      5      4

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1      2      3      6      5      4

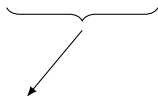


All  $< 4$ , and avoid 312



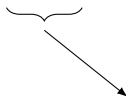
**Do the permutations that avoid 312 have any special properties?**

1      2      3



All  $< 4$ , and avoid 312

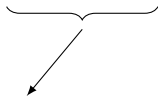
6      5      4



All  $> 4$ , and avoid 312

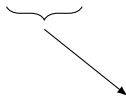
**Do the permutations that avoid 312 have any special properties?**

1      2      3



All  $< 4$ , and avoid 312

6      5      4



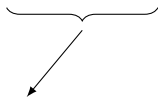
All  $> 4$ , and avoid 312

2      1      4

5      6      3

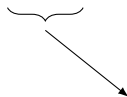
**Do the permutations that avoid 312 have any special properties?**

1      2      3



All  $< 4$ , and avoid 312

6      5      4



All  $> 4$ , and avoid 312

2      1      4



All  $< 3$ , and avoid 312

**Do the permutations that avoid 312 have any special properties?**

1      2      3                  6      5      4



All  $< 4$ , and avoid 312

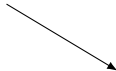


All  $> 4$ , and avoid 312

2      1      4      5      6      3



All  $< 3$ , and avoid 312



All  $> 3$ , and avoid 312

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**What happens with permutations that don't have this property?**

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1      2      6      5      3      4

**What happens with permutations that don't have this property?**

1      2      6      5      3      4

All numbers  $< 4$  in blue

All numbers  $> 4$  in green

**What happens with permutations that don't have this property?**

1    2    6    5    3    4

All numbers  $< 4$  in blue

All numbers  $> 4$  in green



1    2    6    5    3    4



**What happens with permutations that don't have this property?**

1   2   6   5   3   4

All numbers  $< 4$  in blue

All numbers  $> 4$  in green



1   2   6   5   3   4

Doesn't avoid 312 anymore!

## Lemma

*The permutations of  $\{1, 2, \dots, k, k + 1\}$  ending in  $i$  that avoid the pattern 312 are precisely those of the form,*

$$\pi_1 \pi_2 i$$

*the concatenation of  $\pi_1, \pi_2$ , and  $i$ , where  $\pi_1$  is a permutation of  $\{1, 2, \dots, i - 1\}$  that avoids the pattern 312 and  $\pi_2$  is a permutation of  $\{i + 1, \dots, k + 1\}$  that avoids the pattern 312.*

## Definition

The Catalan numbers are the sequence of positive integers  $C_i$  defined as follows,

$$C_0 = 1, \quad C_{n+1} = \sum_{i=0}^n C_i C_{n-i} \text{ for } n \geq 0$$

## Theorem

*The  $n^{\text{th}}$  term of the sequence  $a_n(312)$  is equal to  $C_n$ , the  $n^{\text{th}}$  Catalan number, for  $n > 0$ .*

## Proof.

Assume that for all  $i$  from 1 to  $k$ , the number of permutations of  $\{1, 2, \dots, i\}$  that avoid 312 is  $C_i$ .

It follows from the above lemma that the total number of permutations  $\pi$  avoiding 312 and ending in  $i$  is

$$C_{i-1} \cdot C_{k-i+1}$$

Summing over all possible values of  $i$ , the total number of permutations of  $\{1, 2, \dots, k+1\}$  that avoid 312 is equal to,

$$\sum_{i=1}^{k+1} C_{i-1} \cdot C_{k-i+1} = \sum_{i=0}^k C_i \cdot C_{k-i} = C_{k+1}$$

# The Reversing Lemma

## Definition (Reversing)

We define the *reverse* of a permutation  $b_1 \cdots b_n$  to be the permutation  $b_n \cdots b_1$ . The reversing operator is denoted by  $\mathcal{R}$ .

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## Example

$$\mathcal{R}(1324) = 4231.$$

# The Reversing Lemma

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## Example

$$\mathcal{R}(1324) = 4231.$$

## Example

$$\mathcal{R}(1243) = 3421.$$



# The Reversing Lemma

## Lemma (Reversing Lemma)

*The permutation  $\sigma$  avoids the permutation  $\pi$  iff  $\mathcal{R}(\sigma)$  avoids  $\mathcal{R}(\pi)$ .*

## Corollary

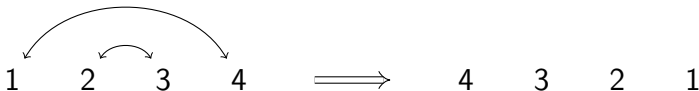
*For a permutation  $\pi$ ,  $a_n(\pi) = a_n(\mathcal{R}(\pi))$ .*

## Definition (Flipping)

We define the *flip* of a sequence  $b$  as the sequence  $c$  with the same elements as  $b$ , but with the largest element swapped with the smallest element, the second largest element swapped with the second smallest element, etc. The flipping operator is denoted by  $\mathcal{F}$ .

# The Flipping Lemma

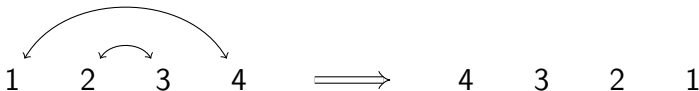
## Example



$$\mathcal{F}(1234) = 4321$$

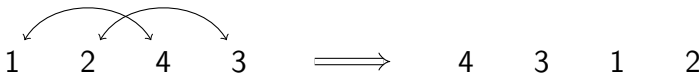
# The Flipping Lemma

## Example



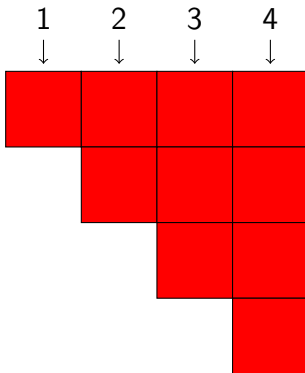
$$\mathcal{F}(1234) = 4321$$

## Example

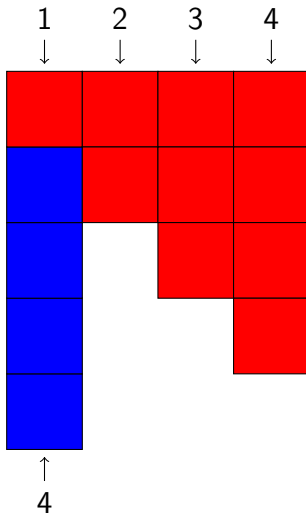


$$\mathcal{F}(1243) = 4312$$

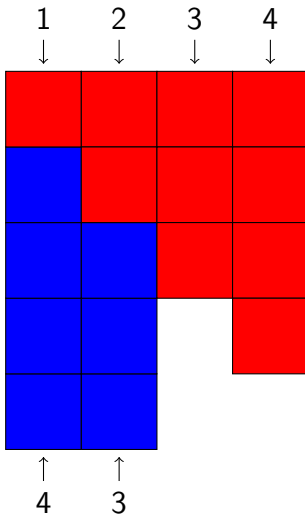
# The Flipping Lemma



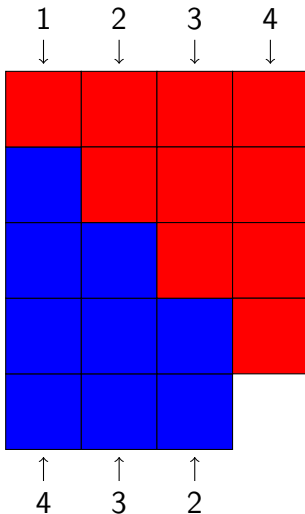
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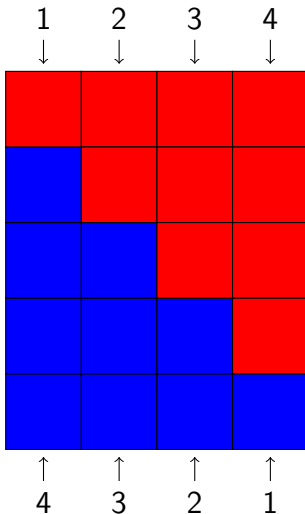


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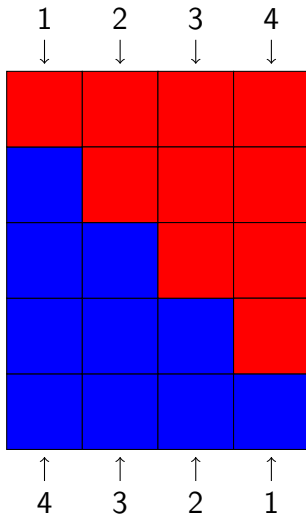




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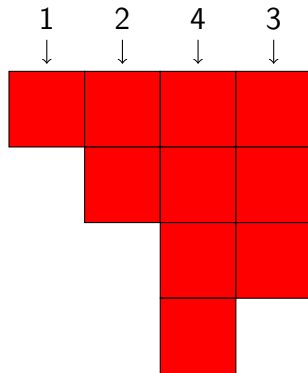
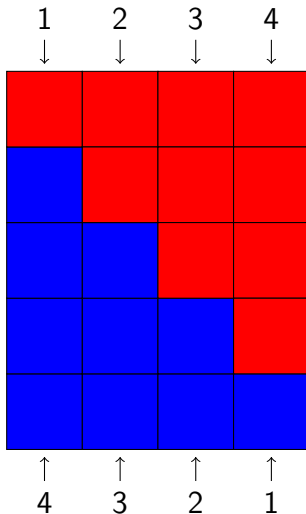


## The Flipping Lemma



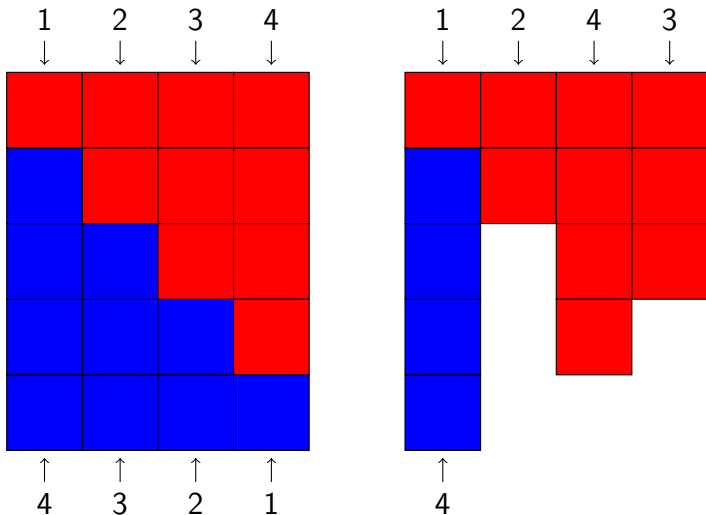
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## The Flipping Lemma



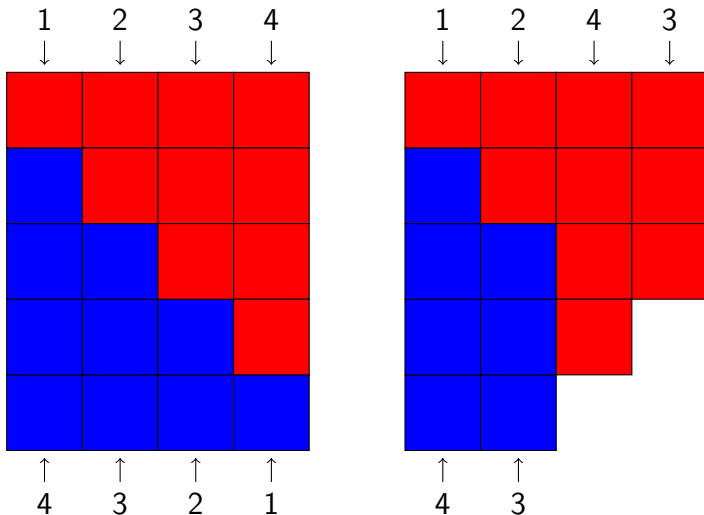
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## The Flipping Lemma



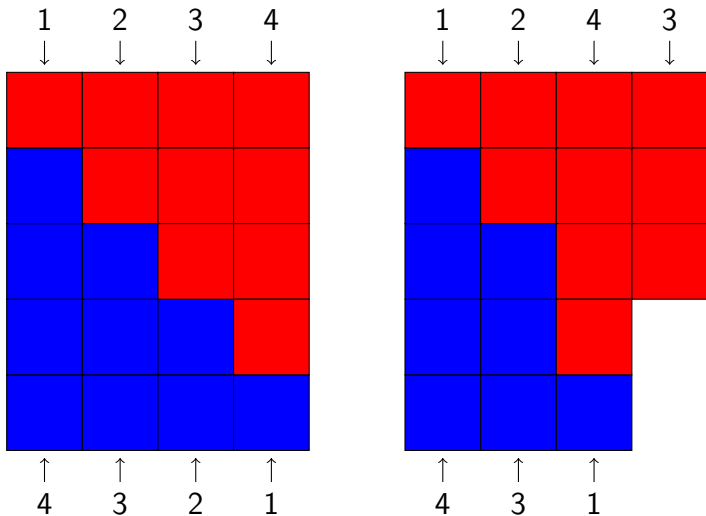
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## The Flipping Lemma



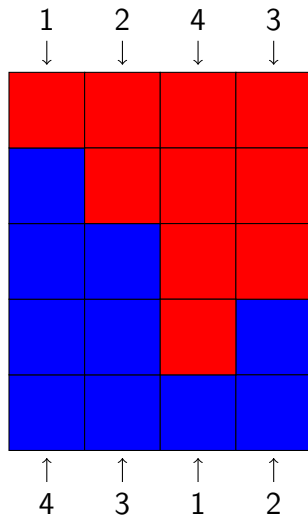
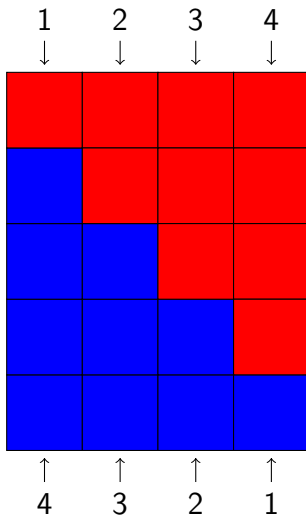
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## The Flipping Lemma



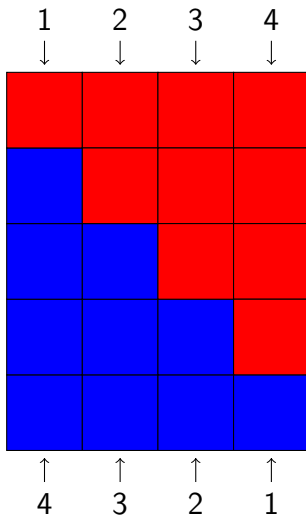
$$\mathcal{F}(1234) = 4321$$

## The Flipping Lemma

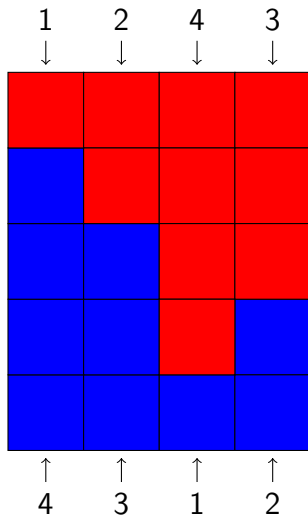


$$\mathcal{F}(1234) = 4321$$

## The Flipping Lemma



$$\mathcal{F}(1234) = 4321$$



$$\mathcal{F}(1243) = 4312$$



## Lemma (Flipping Lemma)

*The permutation  $\sigma$  avoids the permutation  $\pi$  iff  $\mathcal{F}(\sigma)$  avoids  $\mathcal{F}(\pi)$ .*

## Corollary

*For a permutation  $\pi$ ,  $a_n(\pi) = a_n(\mathcal{F}(\pi))$ .*

Avoidance of other permutations in  $S_3$ 

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- From the Flipping Lemma and Reversing Lemmas, the sequences  $(a_n(213))$ ,  $(a_n(132))$  and  $(a_n(231))$  are the sequence of Catalan numbers as well.
- However, it is much harder to prove that the sequences  $(a_n(123))$  and  $(a_n(321))$  are the sequence of Catalan numbers.

$$(a_n(\pi)) = \begin{cases} A := 1, 2, 6, 23, 103, 512, 2740, 15485, 91245 \dots \\ B := 1, 2, 6, 23, 103, 513, 2761, 15767, 94359 \dots \\ C := 1, 2, 6, 23, 103, 513, 2762, 15793, 94776 \dots \end{cases}$$

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1234	1243	1324	1342	1423	1432
2134	2143	2314	2341	2413	2431
3124	3142	3214	3241	3412	3421
4123	4132	4213	4231	4312	4321

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$$\begin{aligned} &\{1243, 4312, 2134, 3421\}, \{2413, 3142\}, \\ &\{1432, 4123, 2341, 3214\}, \{1234, 4321\}, \\ &\{4132, 1423, 2314, 3241\}, \{2143, 3412\}, \\ &\{4213, 1342, 3124, 2431\}, \{4231, 1324\}. \end{aligned}$$

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B	A	C
$\{1243, 4312,$ $2134, 3421\},$ $\{1432, 4123,$ $2341, 3214\},$ $\{2143, 3412\},$ $\{1234, 4321\}$	$\{4132, 1423,$ $2314, 3241\},$ $\{4213, 1342,$ $3124, 2431\},$ $\{2413, 3142\}$	$\{4231, 1324\}$

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B	A	C
{1243, 4312, 2134, 3421},	{4132, 1423, 2314, 3241},	{4231, 1324}
{1432, 4123, 2341, 3214},	{4213, 1342, 3124, 2431},	
{2143, 3412},	{2413, 3142}	
{1234, 4321}		

???



Take  $\sigma \in S_5$  with

$$\sigma = \begin{pmatrix} 1 & 2 & 3 & 4 & 5 \\ \downarrow & \downarrow & \downarrow & \downarrow & \downarrow \\ 4 & 5 & 2 & 1 & 3 \end{pmatrix}$$

One-line Notation

$$\sigma = 45213$$

Cycle Notation

$$\sigma = (14)(253)$$

Take  $\sigma \in S_5$  with

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Cycle Notation

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$$\begin{aligned} &\{(34), (12), (1423), (1324)\}, \{(1243), (1342)\}, \\ &\{(24), (13), (1432), (1234)\}, \{(1)(2)(3)(4), (14)(23)\}, \\ &\{(142), (243), (123), (134)\}, \{(12)(34), (13)(24)\}, \\ &\{(143), (234), (132), (124)\}, \{(14), (23)\}. \end{aligned}$$

$$(a_n(\pi)) = \begin{cases} A := 1, 2, 6, 23, 103, 512, 2740, 15485, 91245 \dots \\ B := 1, 2, 6, 23, 103, 513, 2761, 15767, 94359 \dots \\ C := 1, 2, 6, 23, 103, 513, 2762, 15793, 94776 \dots \end{cases}$$

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B	A	C
$\{(34), (1423),$ $(12), (1324)\},$ $\{(24), (1432),$ $(13), (1234)\},$ $\{(12)(34), (13)(24)\},$ $\{(1)(2)(3)(4), (14)(23)\}$	$\{(142), (243),$ $(123), (134)\},$ $\{(143), (234),$ $(132), (124)\},$ $\{(1243), (1342)\}$	$\{(14), (23)\}$

## Conjecture.

- There are three possible sequences for  $(a_n(\pi))$ .
- Given two F&R buckets that look the same up to the cycle decompositions of their elements, they generate the same sequence.



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- Many fewer buckets than expected
- Different growth rates?

## Definition

Let  $m$  be a positive integer. The set  $T_{2m}$  is defined as all permutations in  $S_{2m}$  such that:

- the odd numbers appear in increasing order,
- each even number  $2i$  appears to the right of  $2i - 1$ .

## Example

The set  $S_2$  is  $\{12, 21\}$ . The set  $T_2$  is just  $\{12\}$ .

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## Definition

Given a permutation  $\pi \in S_k$ , we define  $b_m(\pi)$  as

$$b_m(\pi) = \#\{\sigma \in T_{2m} \mid \sigma \text{ avoids } \pi\}.$$

## Problem

*Let  $\pi \in S_3$ , and  $m$  an arbitrary positive integer.  
Compute  $b_m(\pi)$ .*

$\pi$	$m = 1$	$m = 2$	$m = 3$	$m = 4$	$m = 5$
123	1	0	0	0	0
132	1	1	1	1	1
213	1	2	4	8	16
231	1	2	4	8	16
312	1	3	12	55	273
321	1	3	12	55	273

Computing  $b_m(123)$ 

$\pi$	$m = 1$	$m = 2$	$m = 3$	$m = 4$	$m = 5$
123	1	0	0	0	0
132	1	1	1	1	1
213	1	2	4	8	16
231	1	2	4	8	16
312	1	3	12	55	273
321	1	3	12	55	273

Pick any  $\sigma \in T_{2m}$  with  $m \geq 2$ . Then:

- 3 comes after 1
- 4 comes after 3
- So 134 is a subsequence of  $\sigma$ .

Computing  $b_m(132)$ 

$\pi$	$m = 1$	$m = 2$	$m = 3$	$m = 4$	$m = 5$
123	1	0	0	0	0
132	1	1	1	1	1
213	1	2	4	8	16
231	1	2	4	8	16
312	1	3	12	55	273
321	1	3	12	55	273

Let  $m \geq 2$ , and pick any  $\sigma \in T_{2m}$  avoiding 132. Then:

- 1 always comes first
- Each even integer  $2i$  must come before  $2i + 1$
- So  $\sigma$  must be  $1234 \dots (2m)$ .

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123	1	0	0	0	0
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## Theorem

$$b_m(213) = 2^{m-1}, \text{ and } b_m(231) = 2^{m-1}.$$



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123	1	0	0	0	0
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231	1	2	4	8	16
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321	1	3	12	55	273

## Theorem

$$b_m(312) = b_m(321).$$

## Conjecture.

$$b_m(312) = \binom{3m}{m} \cdot \frac{1}{2m+1}.$$