

Extending the BWT for Cartesian Tree Matching

Eric M. Osterkamp and Dominik Köppl

Motivation – 1

- reversal patterns in stock charts

Inverse Head & Shoulder [Fu+ '07]



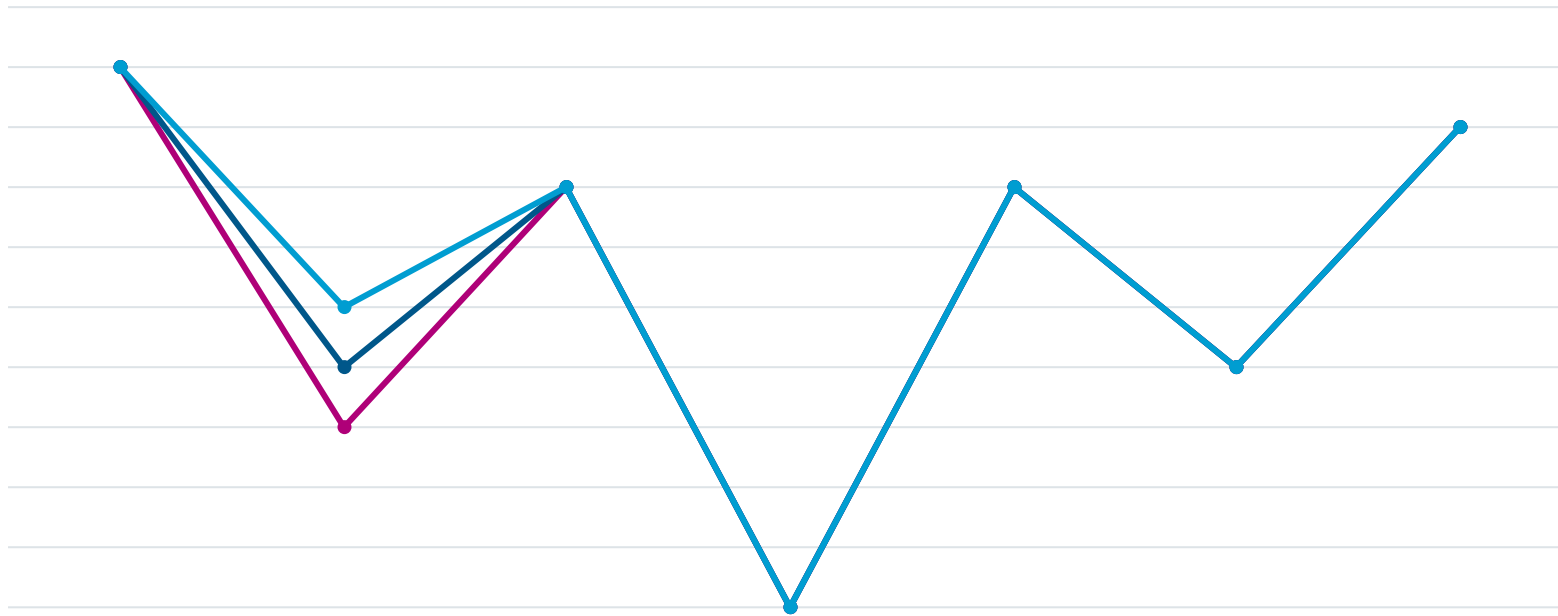
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- Order-Preserving Matching [Kim+ '14] too strict at times

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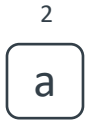
Cartesian Tree Matching – 1

- Cartesian Tree Matching introduced by [Park+ '20]

$$T = \begin{array}{cccccc} 1 & 2 & 3 & 4 & 5 & 6 \\ \boxed{b} & \boxed{a} & \boxed{n} & \boxed{a} & \boxed{n} & \boxed{a} \end{array}$$

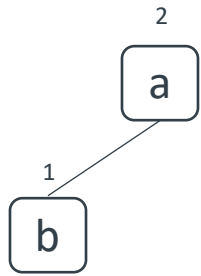
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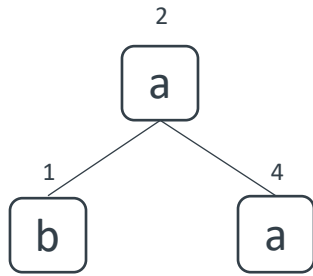


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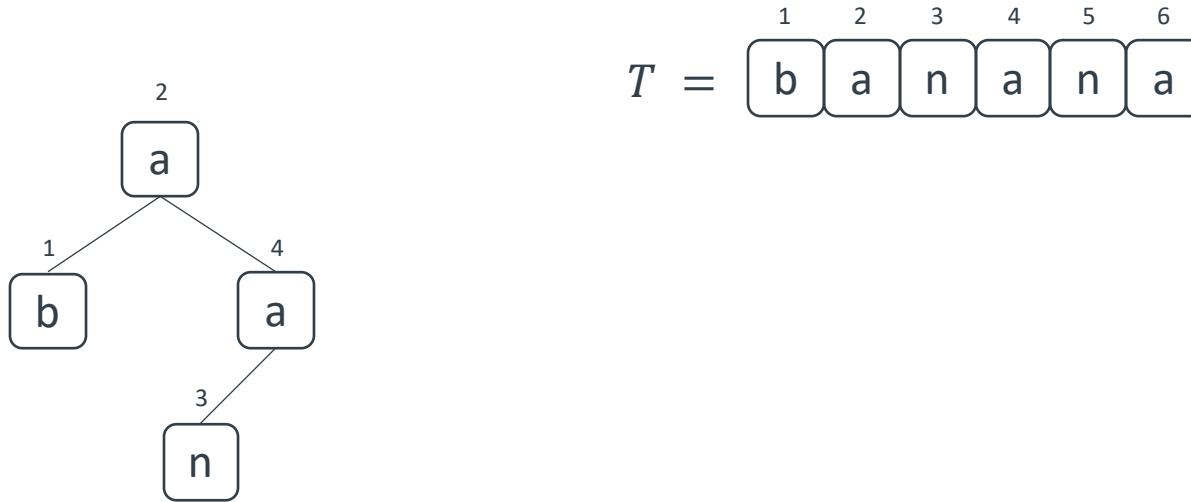


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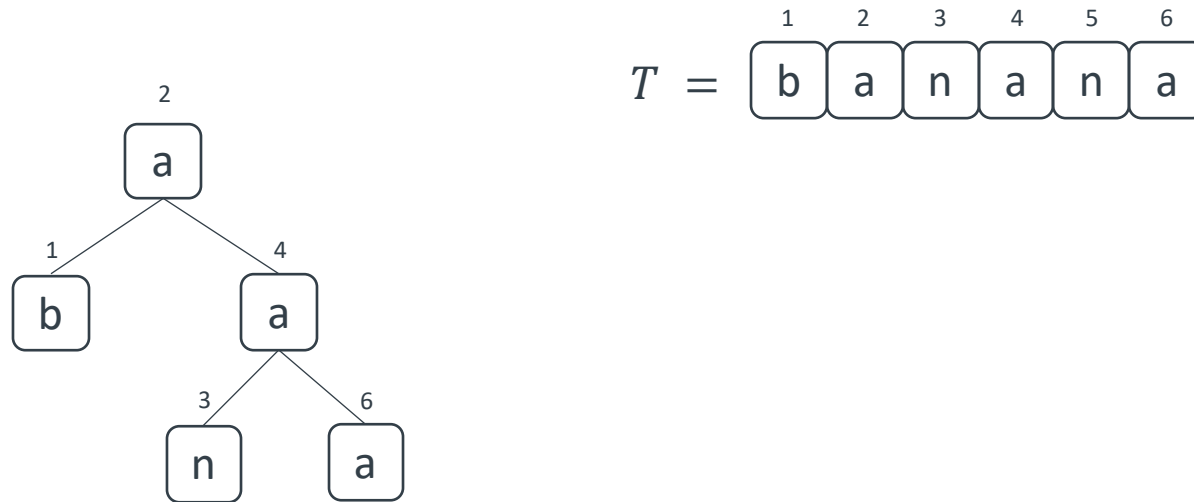
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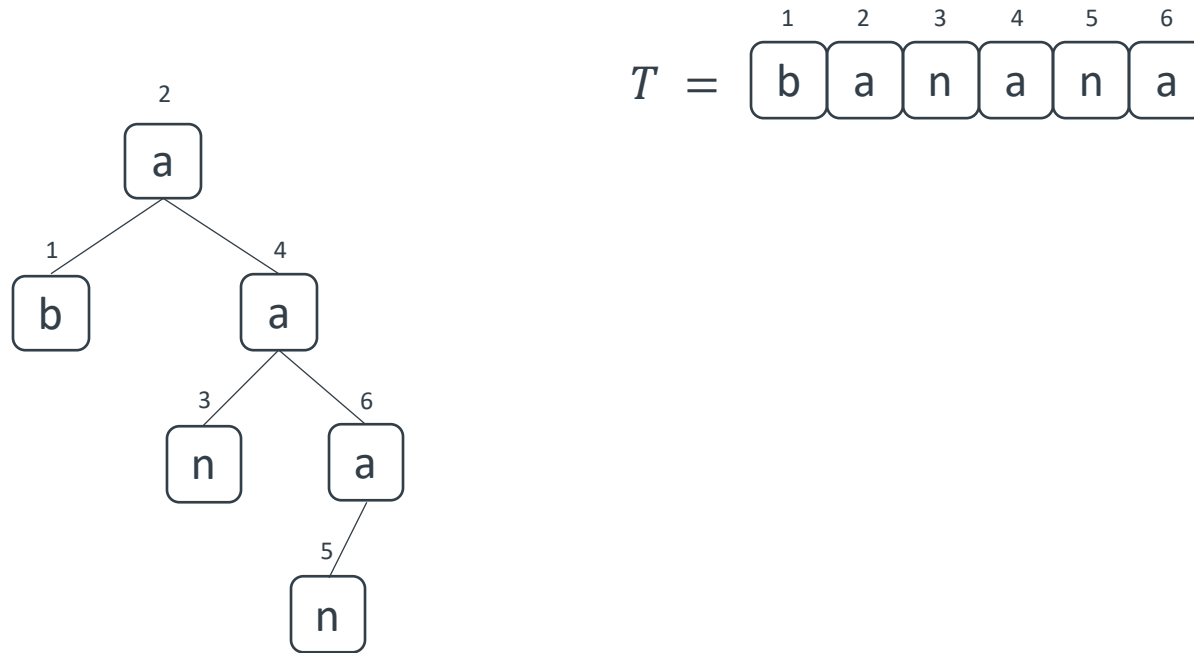
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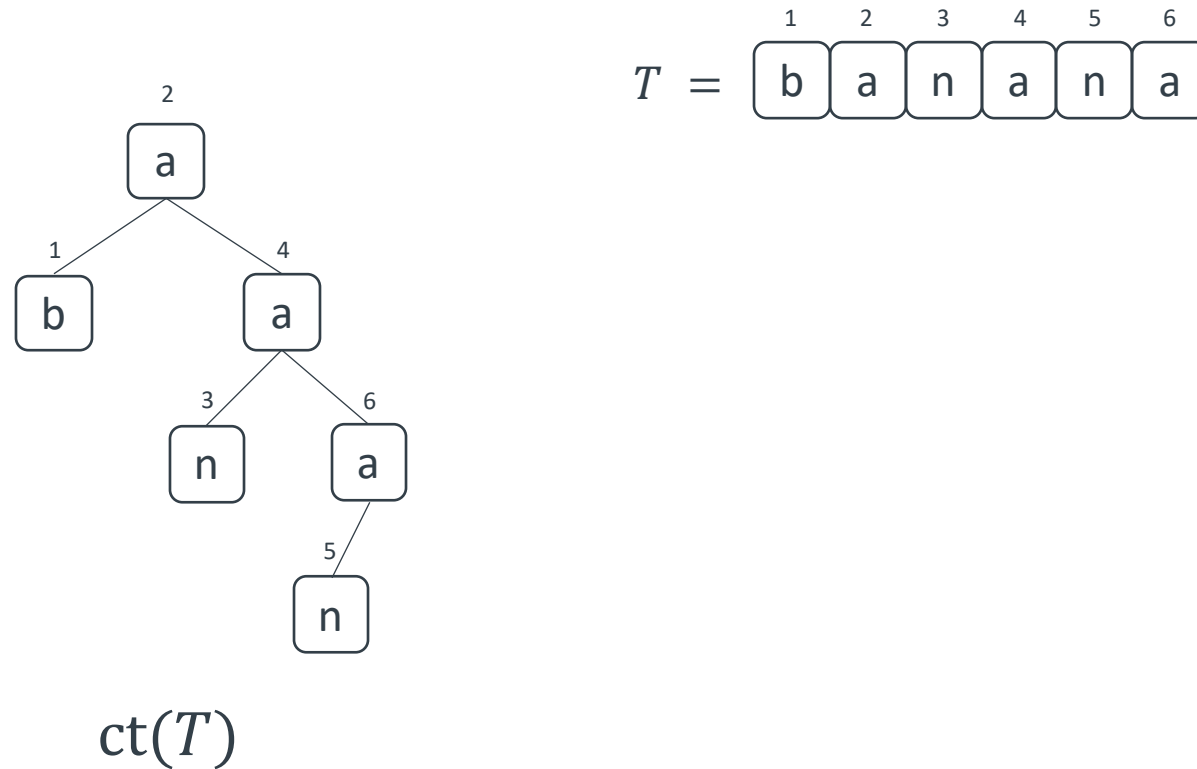
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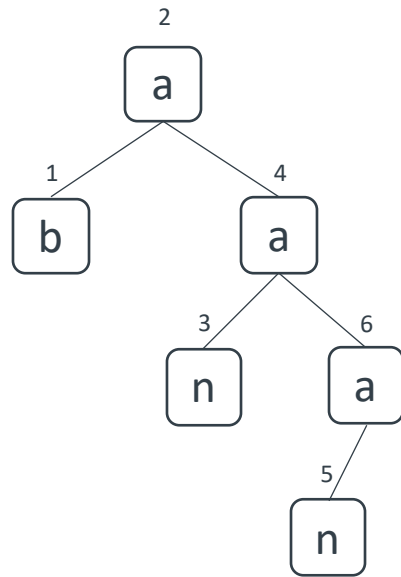
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$ct(T)$

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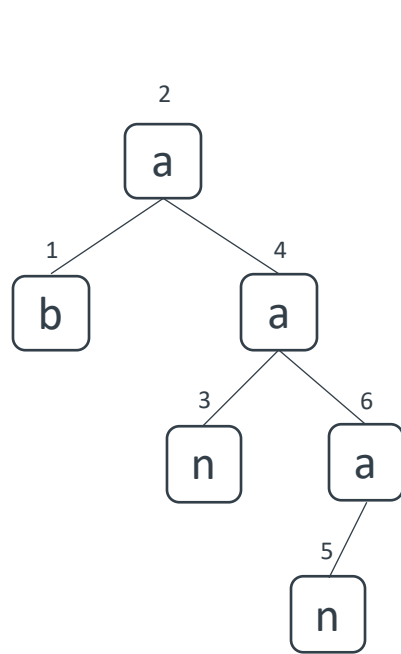
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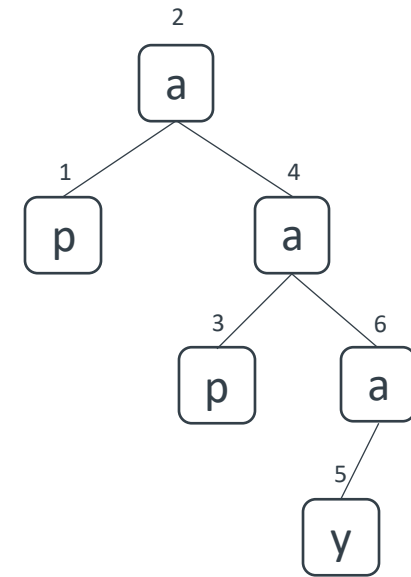
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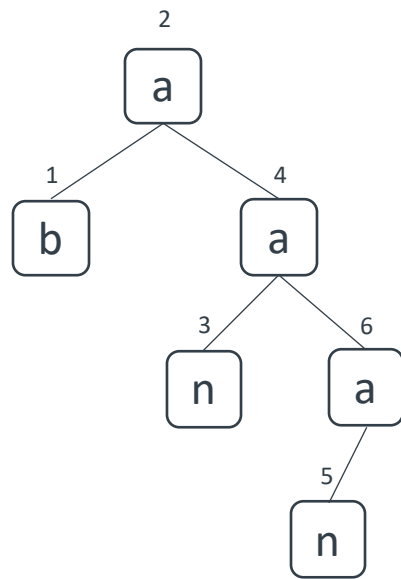
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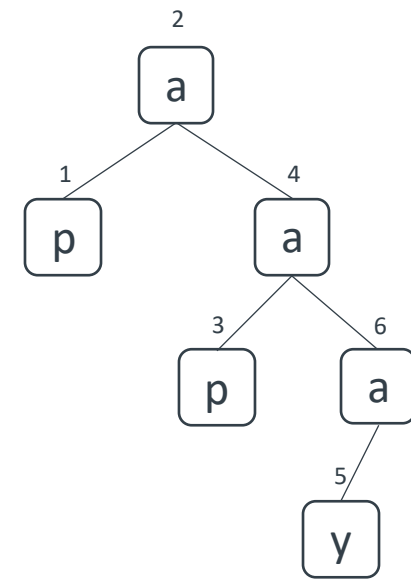
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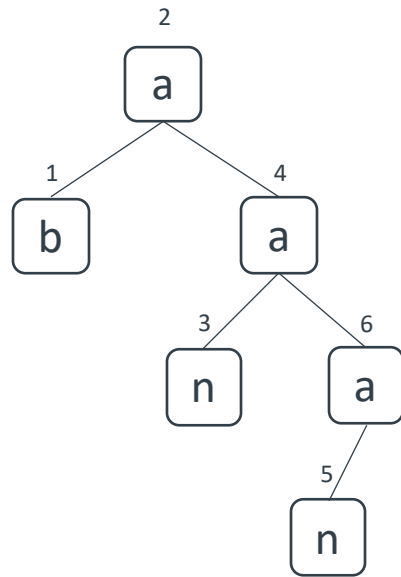
$$T =_{\text{ct}} S$$



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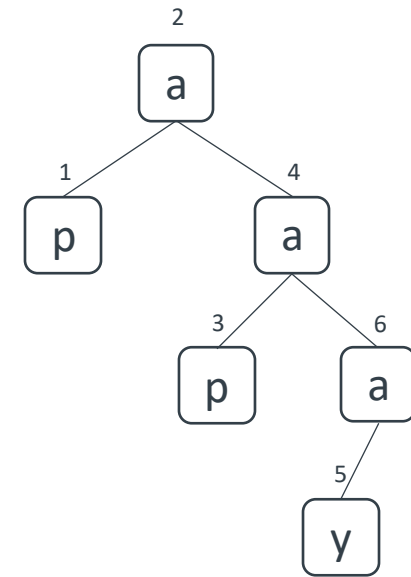
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1	2	3	4	5	6
l	y	c	h	e	e

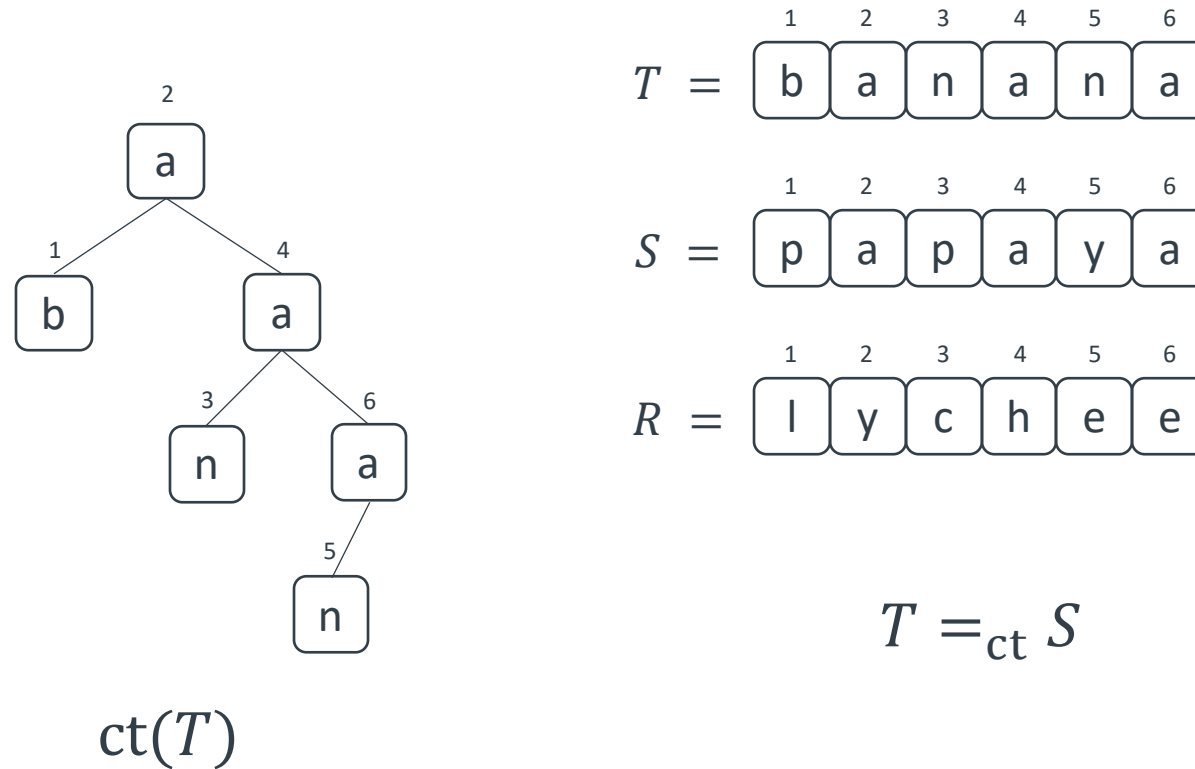
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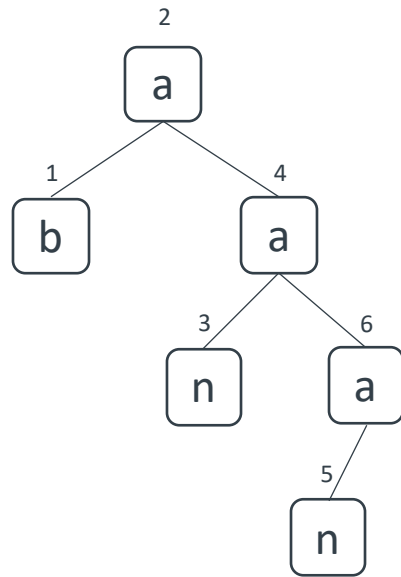
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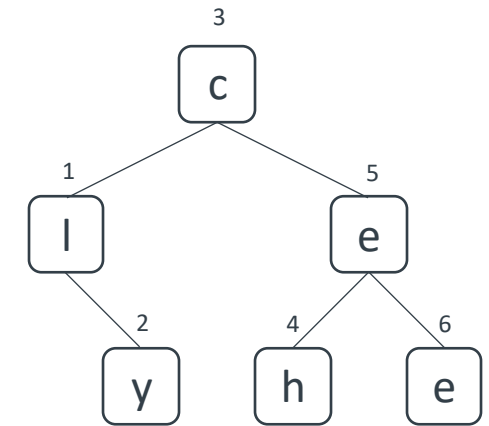
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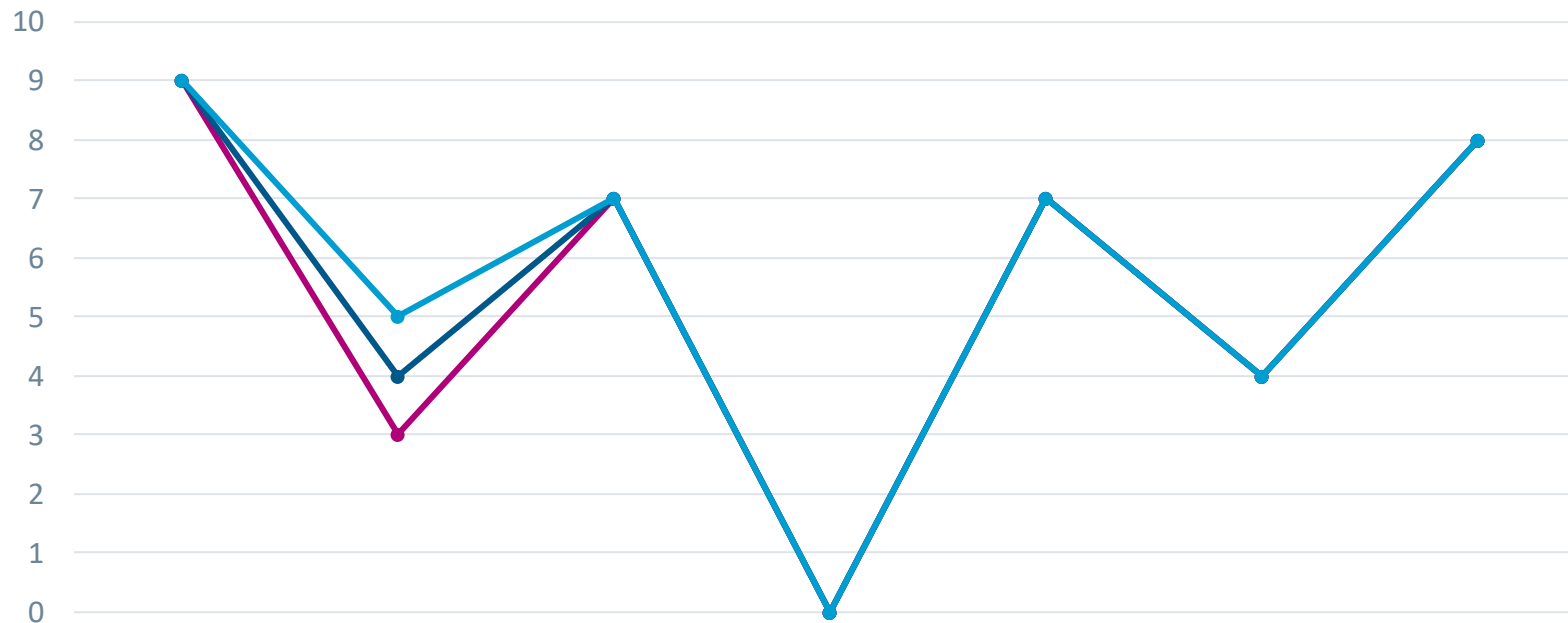
$$T =_{\text{ct}} S \neq_{\text{ct}} R$$



$\text{ct}(R)$

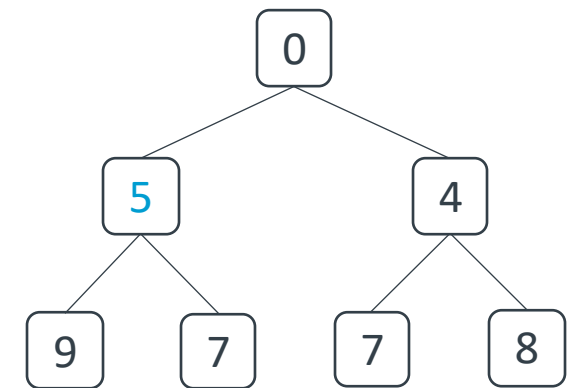
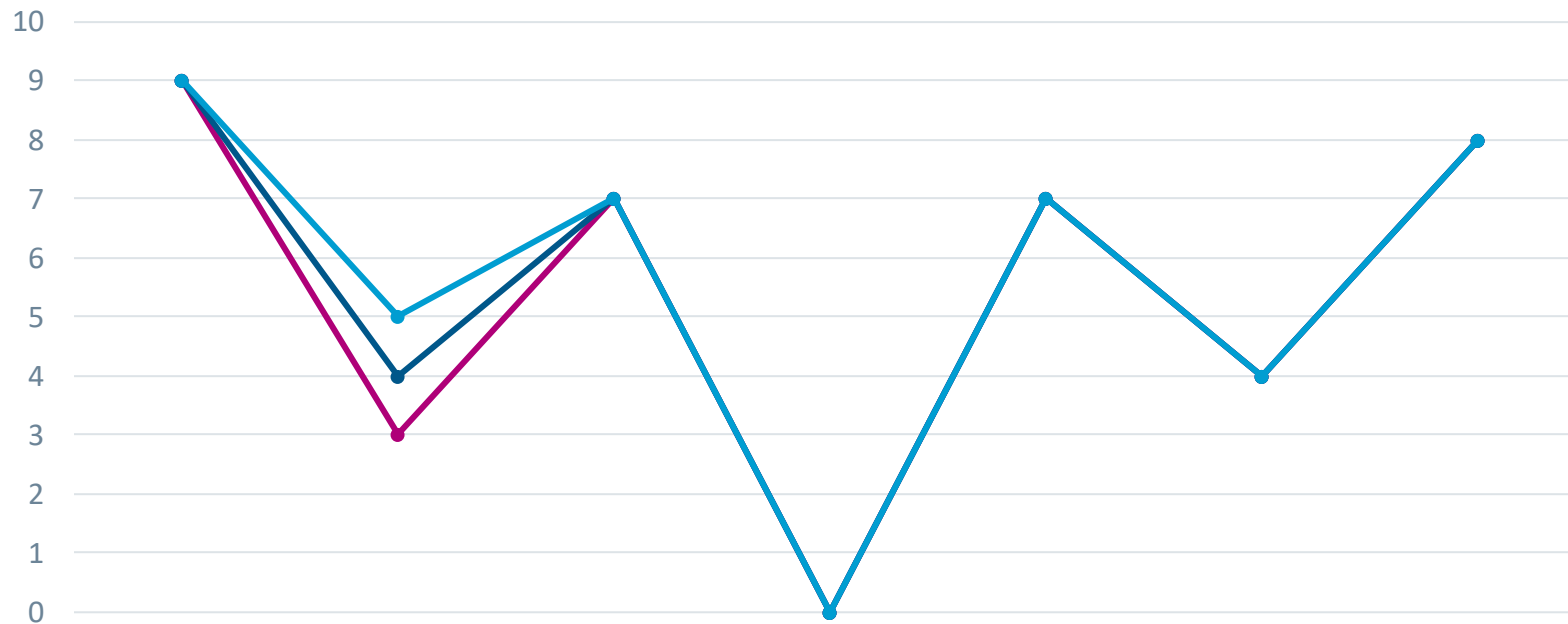
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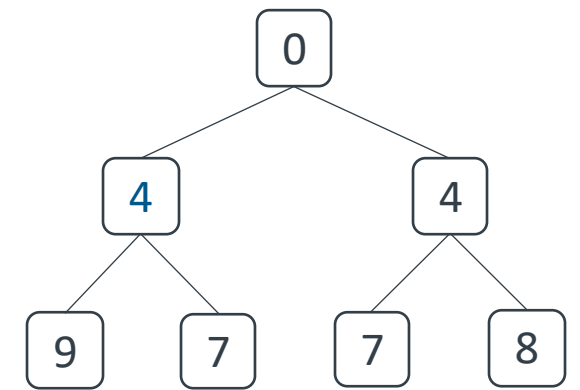
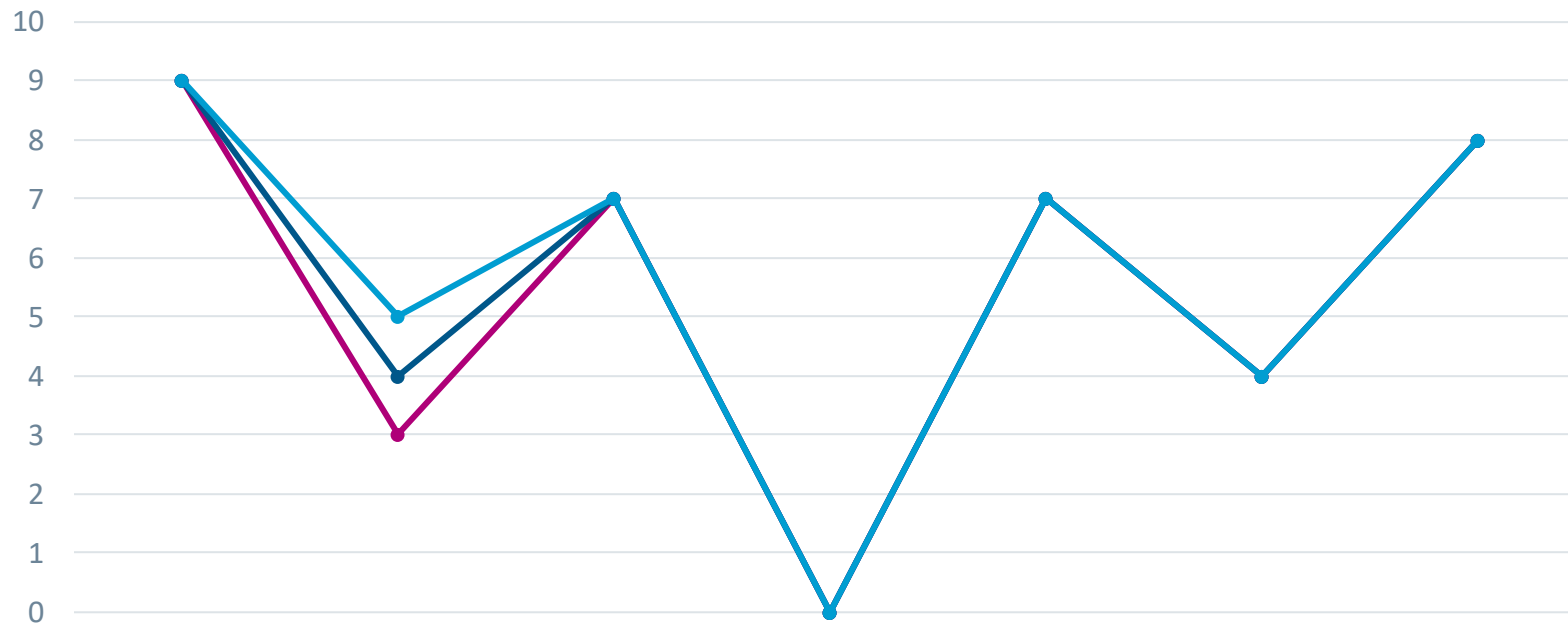
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ct(9**5**70748)

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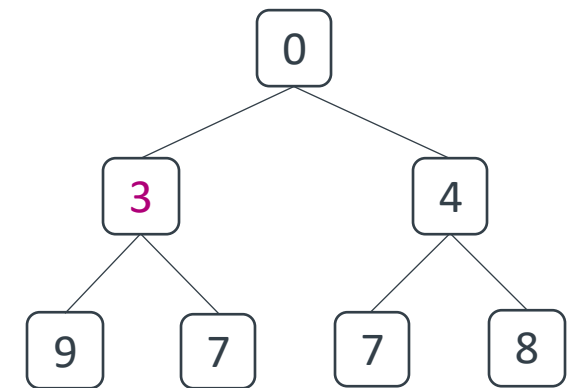
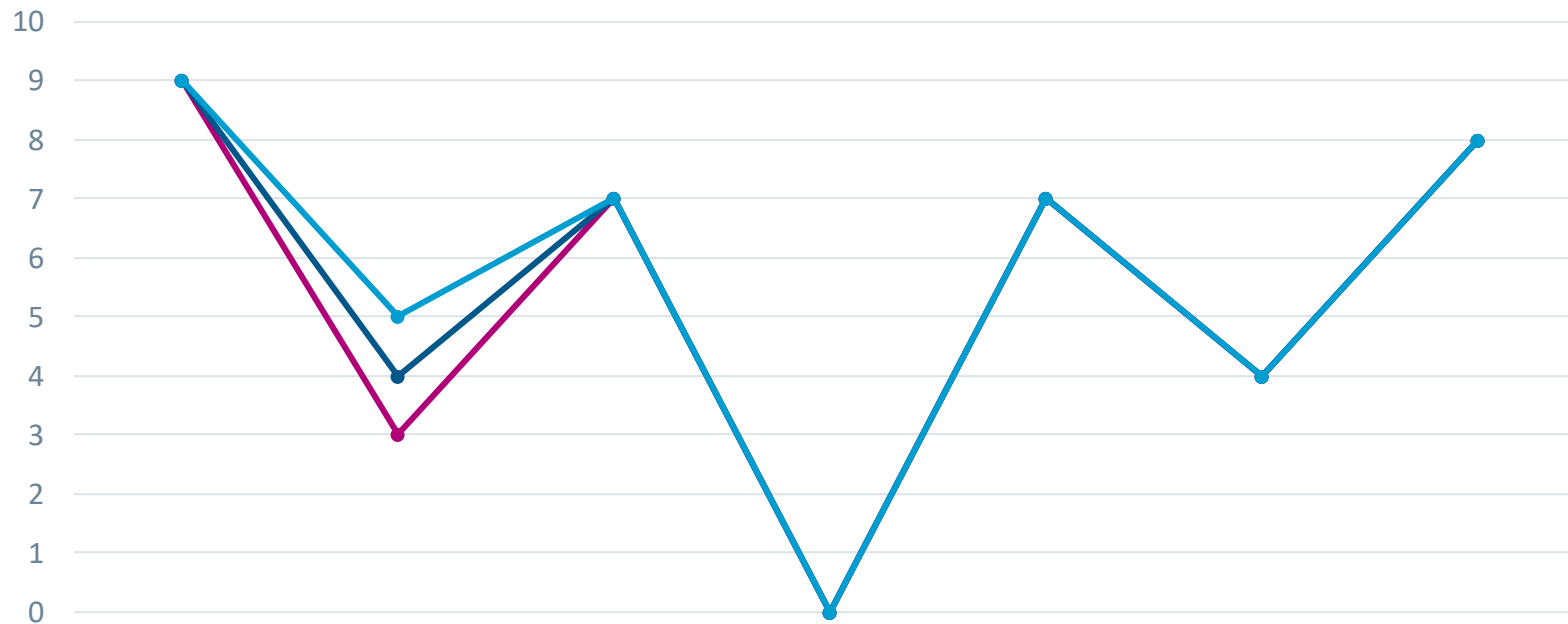
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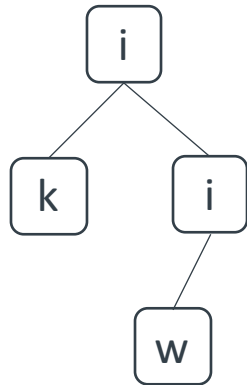
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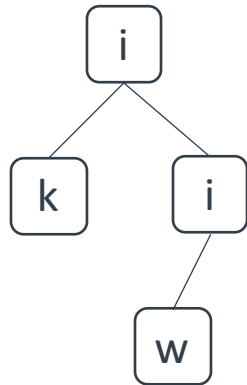
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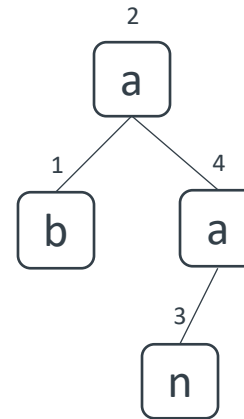
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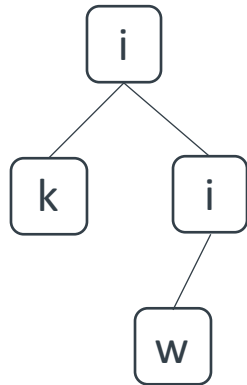
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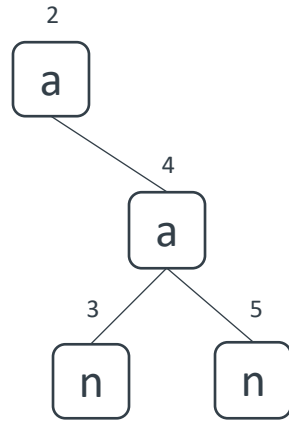
k	i	w	i
---	---	---	---



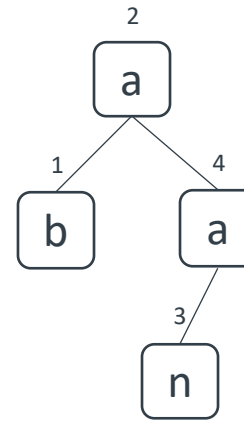
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$ct(T[2..5])$



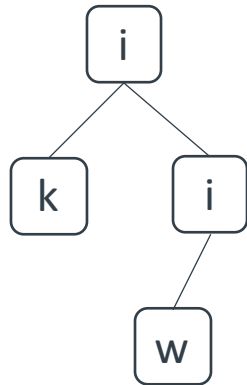
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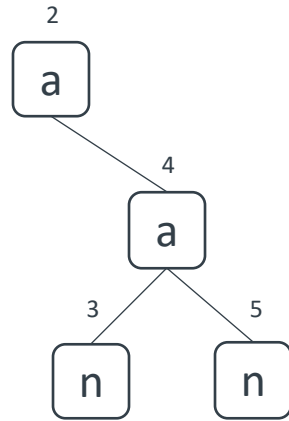
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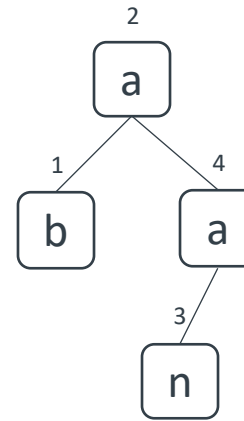
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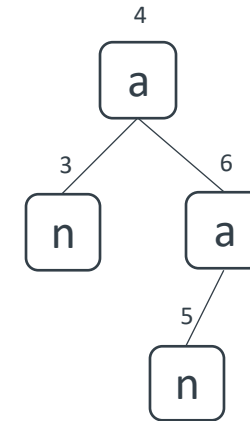
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$\text{ct}(T[2..5])$



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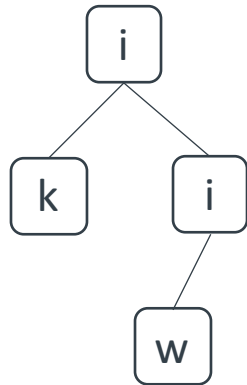


$\text{ct}(T[3..6])$

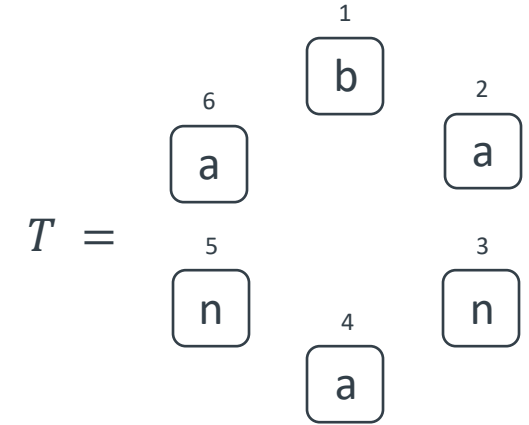
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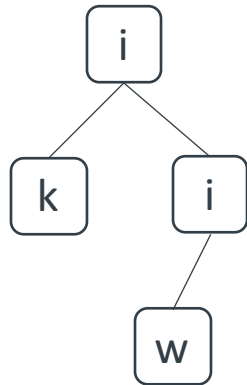
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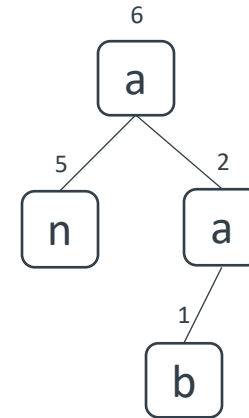
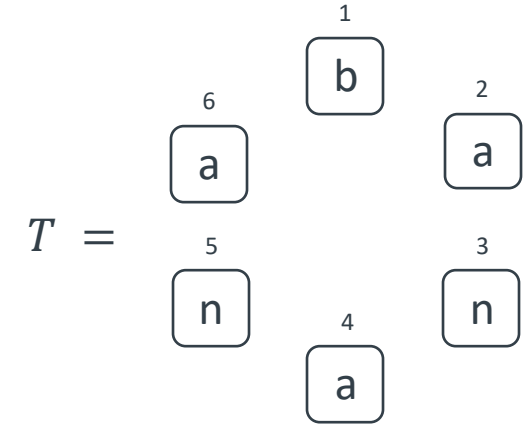
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$ct(P)$



$ct(T[5..6] \cdot T[1..2])$

Cartesian Tree Matching – 4

Data Structure	Bits of Space required	Additional Space for Construction	Construction Time	Time for CTPM	Reference
Suffix Tree	$O(n \log n)$	$O(n \log n)$	$O(n \log n)$	$O(m \log \sigma)$	[Park+ '20]
Position Heap	$O(n \log n)$	$O(n \log n)$	$O(n \log \sigma)$	$O(m\sigma + m \log m + occ)$	[Nishimoto+ '21]
FM-Index (BWT)	$3n + o(n)$	$O(n \log n)$	$O(n \log n)$	$O(m)$	[Kim and Cho '21]

- σ alphabet size
- n total text length
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FM-Index (eBWT)	$O(n \log \sigma)$	$O(n \log \sigma)$	$O\left(n \frac{\log \sigma \log n}{\log \log n}\right)$	$O\left(m \frac{\log \sigma \log n}{\log \log n}\right)$	this paper
FM-Index (eBWT)	$3n + o(n)$	$O(n \log \sigma)$	$O\left(n \frac{\log \sigma \log n}{\log \log n}\right)$	$O(m)$	full paper

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$$\langle T \rangle = \begin{array}{c} 1 \\ \boxed{\infty} \end{array}$$

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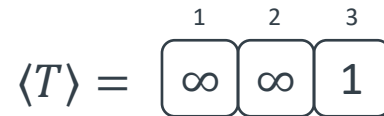
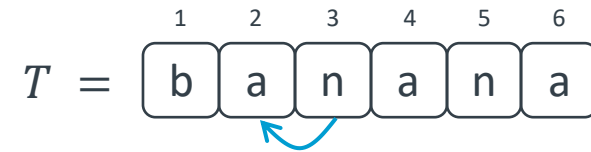
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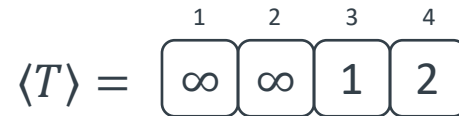
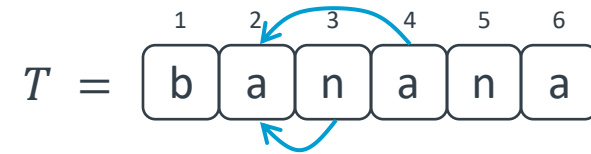
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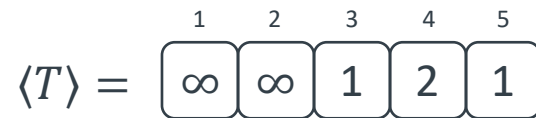
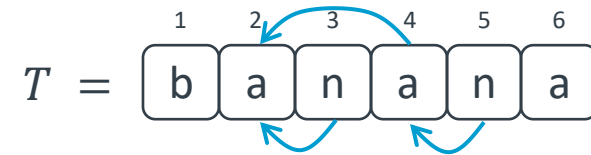
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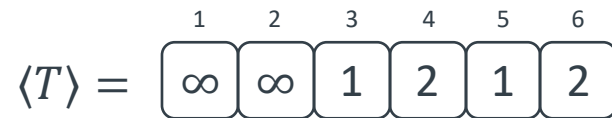
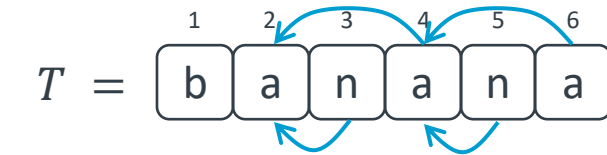
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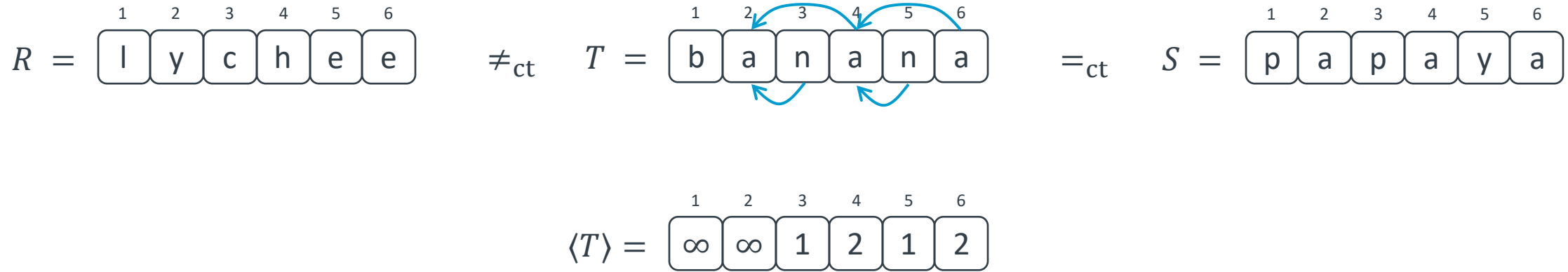
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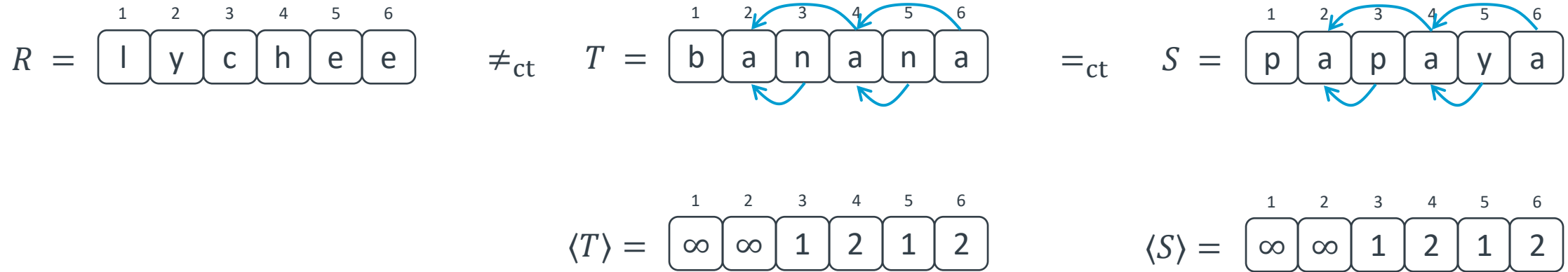
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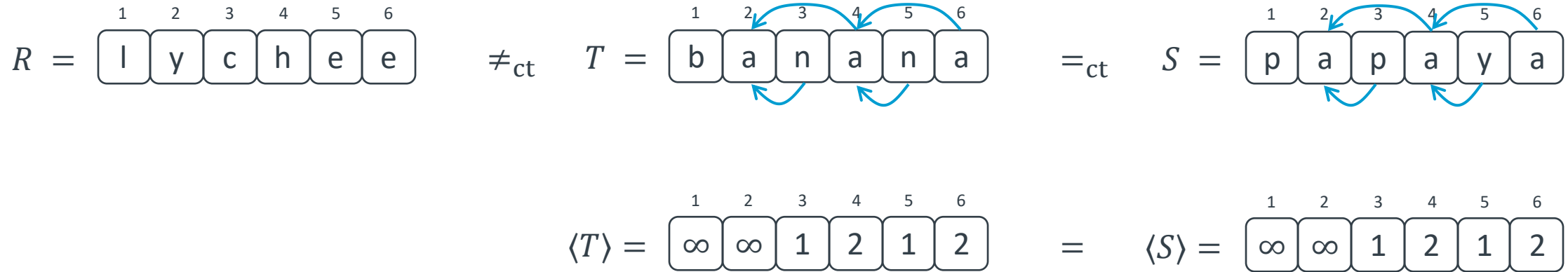
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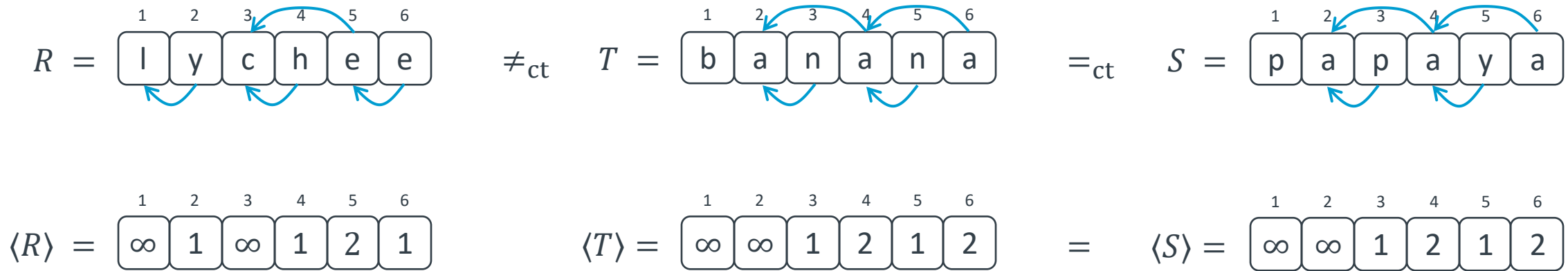
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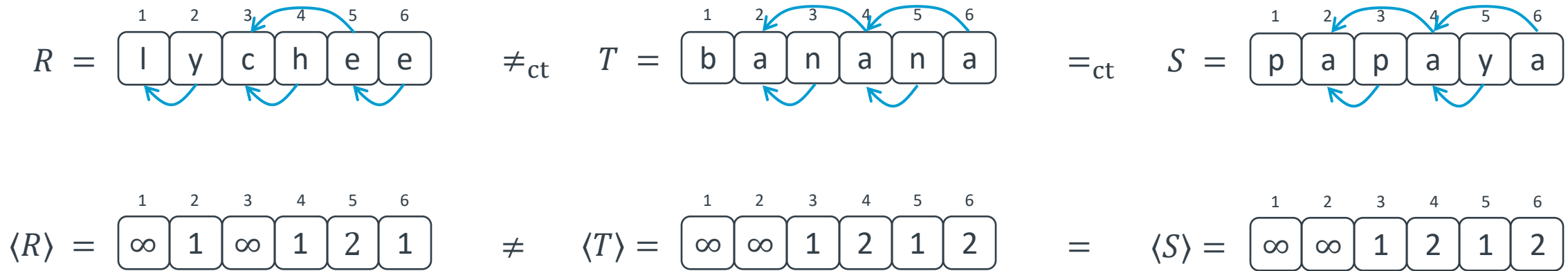
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- the conjugates of a string are its rotations
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$T =$

1	2	3
f	i	g

 \cdot

4	5	6	7
k	i	w	i

 \cdot

8	9	10	11	12
a	p	p	l	e

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- identify** conjugates of T_1, \dots, T_d by their **starting position** in $T = T_1 \cdot \dots \cdot T_d$

$$T = \begin{array}{c} 1 \quad 2 \quad 3 \\ \boxed{f} \boxed{i} \boxed{g} \end{array} \cdot \begin{array}{c} 4 \quad 5 \quad 6 \quad 7 \\ \boxed{k} \boxed{i} \boxed{w} \boxed{i} \end{array} \cdot \begin{array}{c} 8 \quad 9 \quad 10 \quad 11 \quad 12 \\ \boxed{a} \boxed{p} \boxed{p} \boxed{l} \boxed{e} \end{array} \Rightarrow C(6) = \text{wiki}$$

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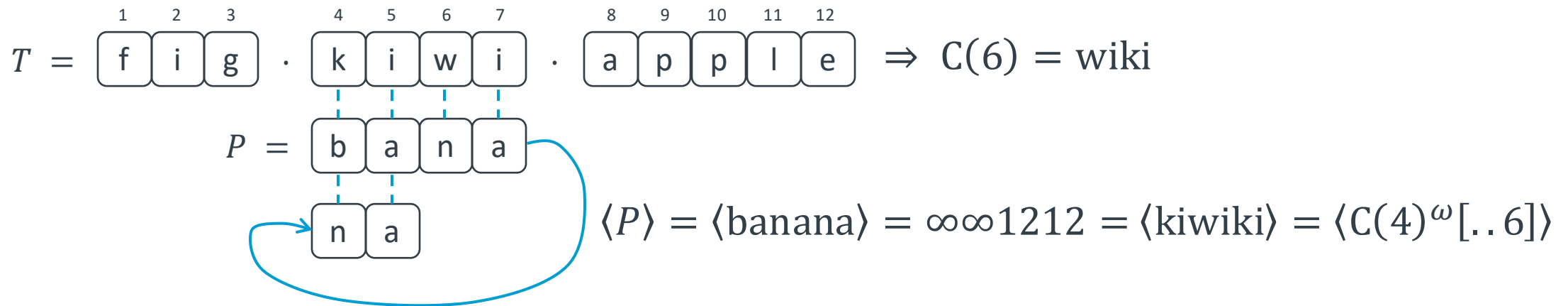
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$$T = \begin{array}{c} 1 \quad 2 \quad 3 \\ \boxed{f} \boxed{i} \boxed{g} \end{array} \cdot \begin{array}{c} 4 \quad 5 \quad 6 \quad 7 \\ \boxed{k} \boxed{i} \boxed{w} \boxed{i} \end{array} \cdot \begin{array}{c} 8 \quad 9 \quad 10 \quad 11 \quad 12 \\ \boxed{a} \boxed{p} \boxed{p} \boxed{l} \boxed{e} \end{array} \Rightarrow C(6) = \text{wiki}$$

- let $X^\omega = X \cdot X \cdot X \cdot \dots$ and P a pattern
- circular** CTPM: **count** the conjugates of T_1, \dots, T_d such that $C(i)^\omega[..|P|] =_{\text{ct}} P$

Problem Statement

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Sorting Conjugates – 1

- sort conjugates such that occurrences of a pattern are consecutive
- sort encoded conjugates lexicographically like [Kim and Cho '21]?

$T =$

1	2	3
f	i	g

 \cdot

4	5	6	7
k	i	w	i

 \cdot

8	9	10	11	12
a	p	p	l	e

break ties
by index

i	$C(i)$	$\langle C(i) \rangle$
8	apple	$\infty 1134$
1	fig	$\infty 12$
5	iwik	$\infty 121$
7	ikiw	$\infty 121$
9	pplea	$\infty 1 \infty \infty \infty$
3	gfi	$\infty \infty 1$
12	eappl	$\infty \infty 113$
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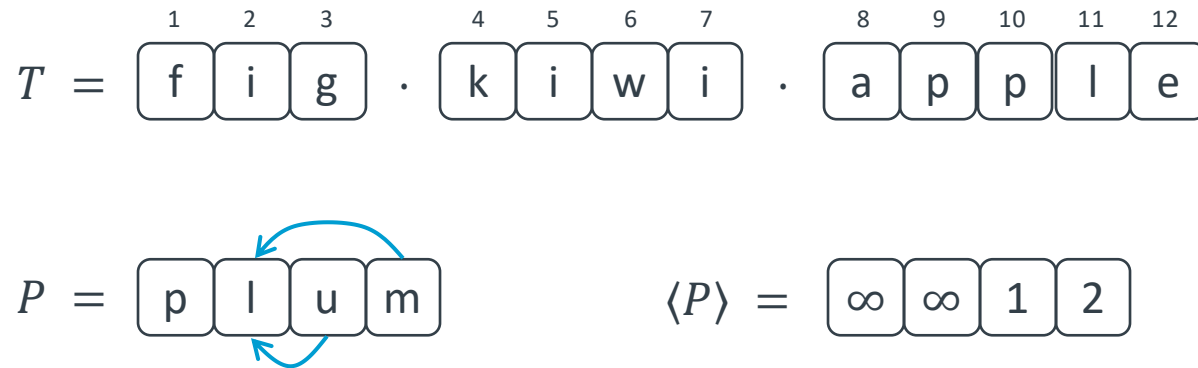
p	l	u	m
---	---	---	---

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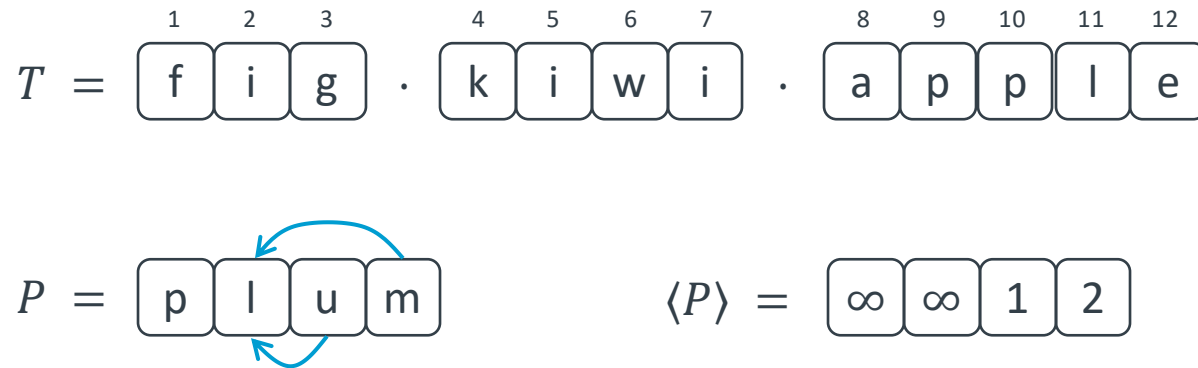


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- define the **rotational parent distance encoding** $\langle T \rangle_r$ of a string T :

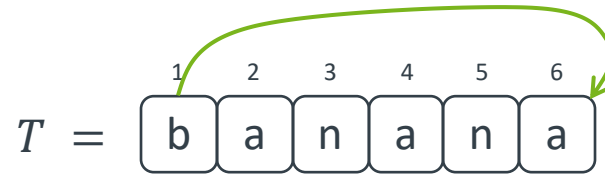
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$$T = \begin{array}{cccccc} 1 & 2 & 3 & 4 & 5 & 6 \\ \boxed{b} & \boxed{a} & \boxed{n} & \boxed{a} & \boxed{n} & \boxed{a} \end{array}$$

Sorting Conjugates – 2

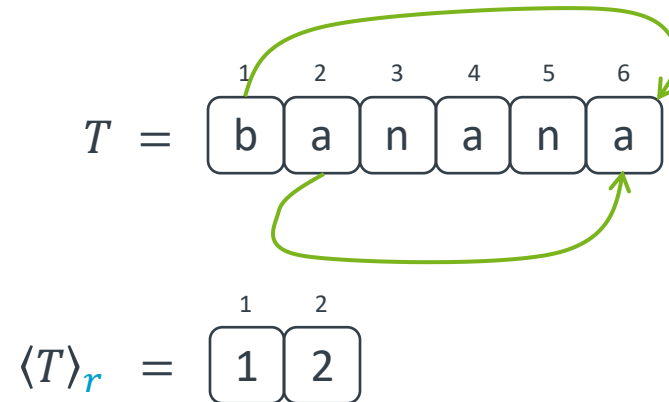
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$$\langle T \rangle_r = \begin{array}{c} 1 \\ \boxed{1} \end{array}$$

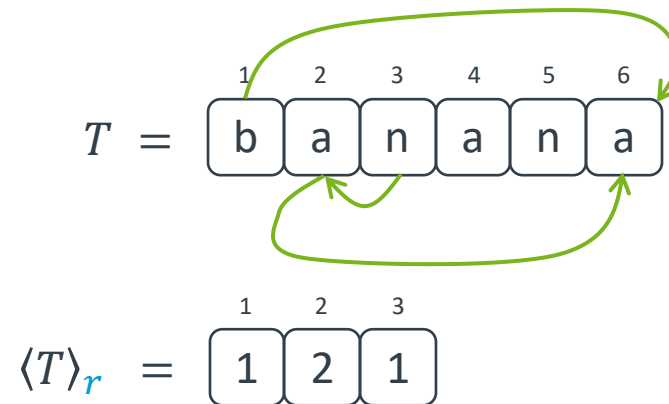
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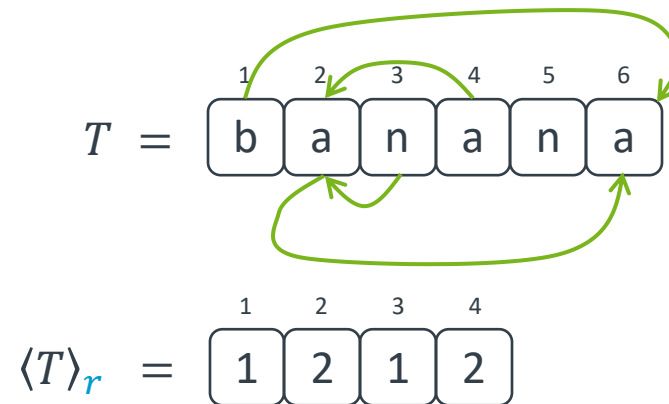
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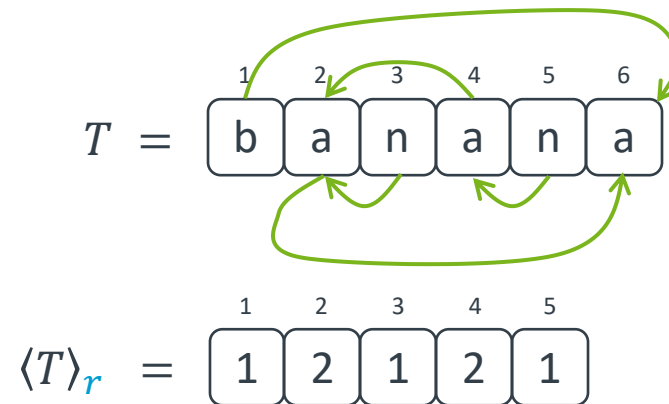
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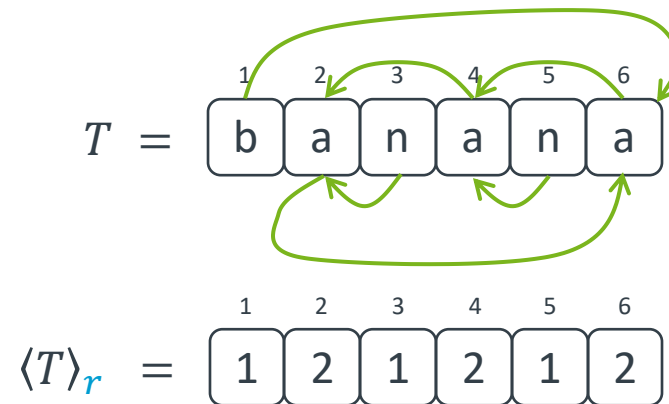
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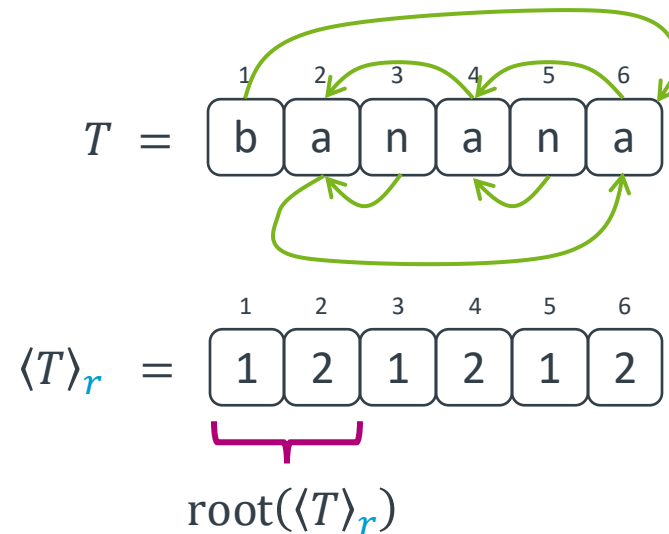
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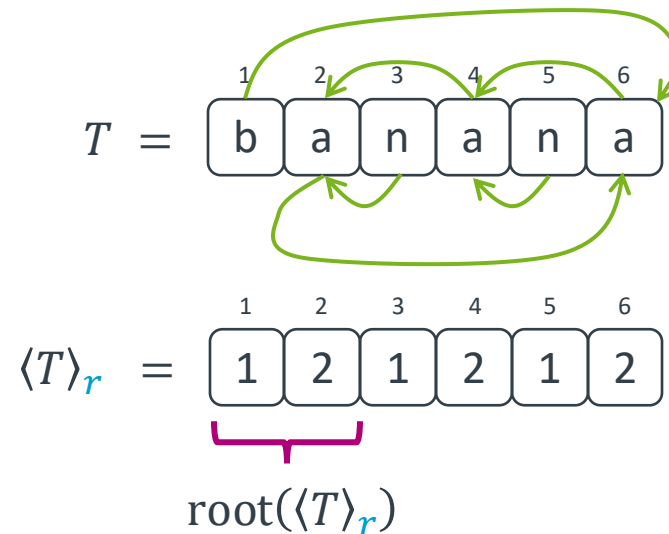
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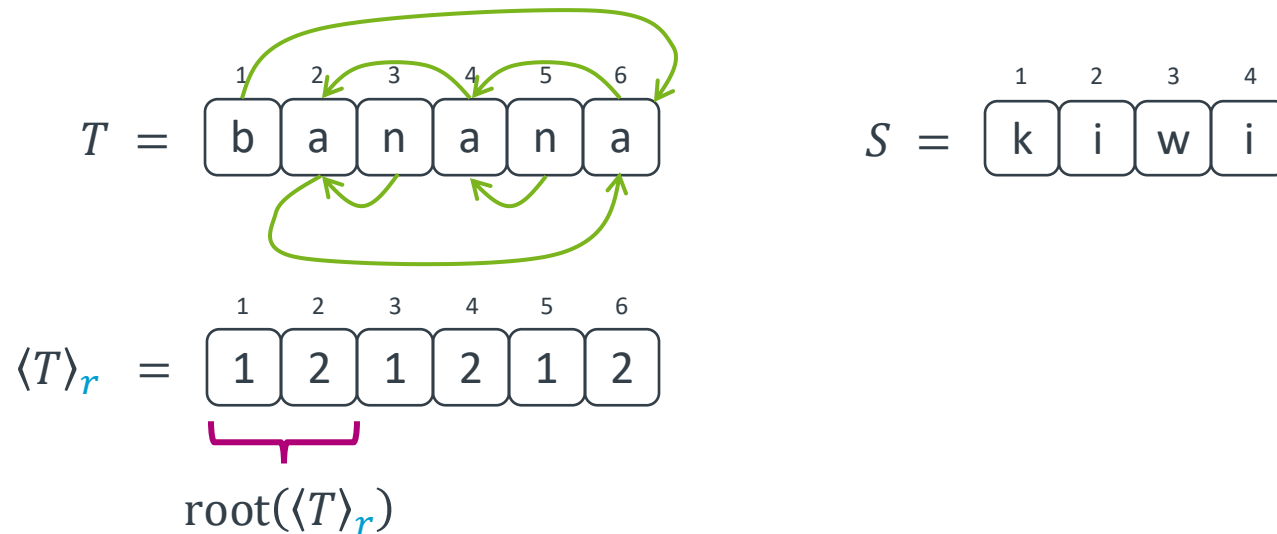
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- **ω -preorder**: $X \preceq_{\omega} Y \Leftrightarrow \text{root}(\langle X \rangle_r) = \text{root}(\langle Y \rangle_r) \vee \exists i: \langle X^{\omega}[\dots i] \rangle < \langle Y^{\omega}[\dots i] \rangle$

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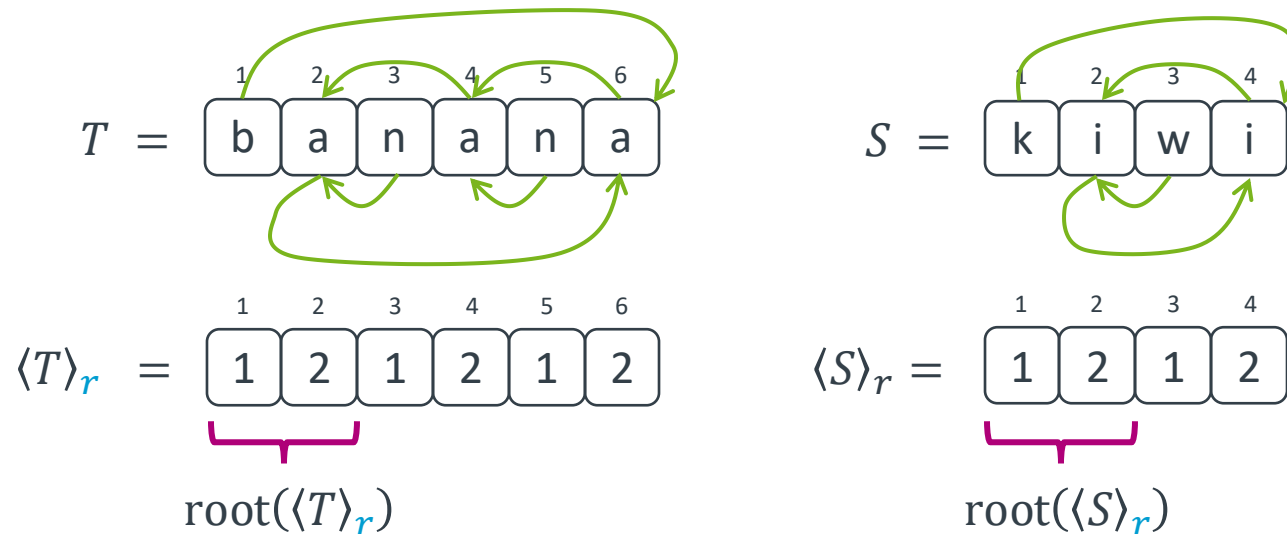
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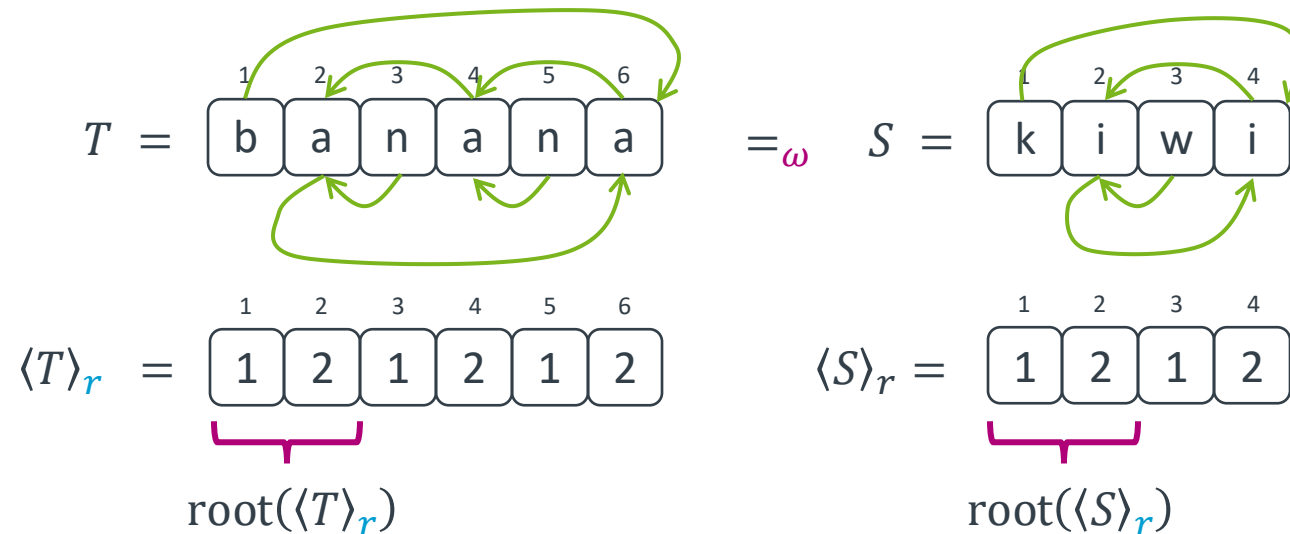
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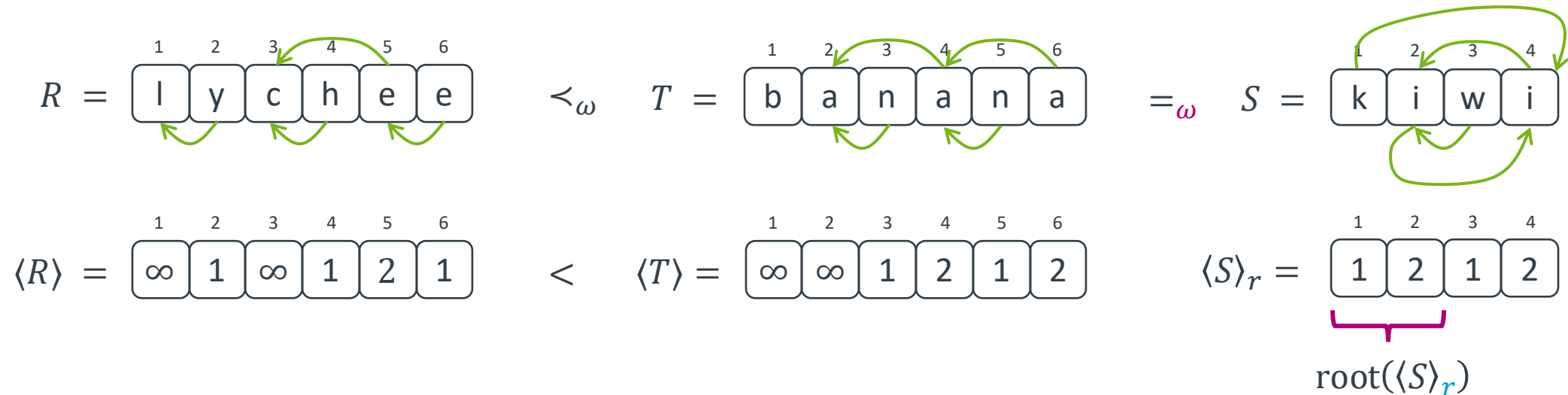
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the computation of ω -preorder

$T =$

1	2	3
f	i	g

 ·

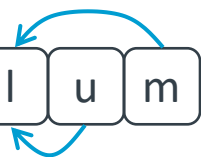
4	5	6	7
k	i	w	i

 ·

8	9	10	11	12
a	p	p	l	e

$P =$

p	l	u	m
---	---	---	---



$\langle P \rangle =$

∞	∞	1	2
----------	----------	---	---

i	$C(i)$	$\langle C(i)^{\omega}[..15] \rangle$
8	apple	$\infty 11345113451134$
5	iwik	$\infty 12121212121212$
7	ikiw	$\infty 12121212121212$
1	fig	$\infty 12312312312312$
9	pplea	$\infty 1 \infty \infty \infty 1134511345$
12	eappl	$\infty \infty 1134511345113$
4	kiwi	$\infty \infty 1212121212121$
6	wiki	$\infty \infty 1212121212121$
3	gfi	$\infty \infty 1231231231231$
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2	igf	$\infty \infty \infty 123123123123$
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$T = \begin{matrix} 1 & 2 & 3 \\ \boxed{f} & \boxed{i} & \boxed{g} \end{matrix} \cdot \begin{matrix} 4 & 5 & 6 & 7 \\ \boxed{k} & \boxed{i} & \boxed{w} & \boxed{i} \end{matrix} \cdot \begin{matrix} 8 & 9 & 10 & 11 & 12 \\ \boxed{a} & \boxed{p} & \boxed{p} & \boxed{l} & \boxed{e} \end{matrix}$

$P = \begin{matrix} & \curvearrowright & & \\ \boxed{p} & \boxed{l} & \boxed{u} & \boxed{m} \\ & \curvearrowleft & & \end{matrix}$

$\langle P \rangle = \begin{matrix} \infty & \infty & 1 & 2 \end{matrix}$

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break ties
by index

$T =$

1	2	3
f	i	g

 ·

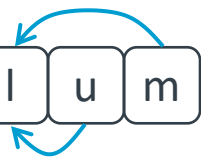
4	5	6	7
k	i	w	i

 ·

8	9	10	11	12
a	p	p	l	e

$P =$

p	l	u	m
---	---	---	---



$\langle P \rangle =$

∞	∞	1	2
----------	----------	---	---

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- first column: **conjugate array CA**

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$P = \boxed{p} \boxed{l} \boxed{u} \boxed{m}$

$\langle P \rangle = \boxed{\infty} \boxed{\infty} \boxed{1} \boxed{2}$

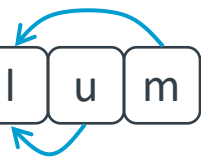
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- first column: **conjugate array CA**
- red rows: **conjugate range CR(P)**

$T = \overset{1}{\boxed{f}} \overset{2}{\boxed{i}} \overset{3}{\boxed{g}} \cdot \overset{4}{\boxed{k}} \overset{5}{\boxed{i}} \overset{6}{\boxed{w}} \overset{7}{\boxed{i}} \cdot \overset{8}{\boxed{a}} \overset{9}{\boxed{p}} \overset{10}{\boxed{p}} \overset{11}{\boxed{l}} \overset{12}{\boxed{e}}$

$P = \boxed{p} \boxed{l} \boxed{u} \boxed{m}$



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break ties
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FL- and LF-Mapping – 1

- usually maps a conjugates rank to that of its left and right rotation
- due to **tie breaks** we want to cycle through a text's **encoded roots**

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$$T_2 = T[4..7] = \boxed{k} \boxed{i} \boxed{w} \boxed{i}$$

$$\langle T_2 \rangle_r = \boxed{1} \boxed{2} \boxed{1} \boxed{2}$$


root($\langle T_2 \rangle_r$)

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i	CA[i]	C(CA[i])	FL[i]	LF[i]
1	8	apple	5	6
2	5	iwik	7	7
3	7	ikiw	8	8
4	1	fig	11	9
5	9	pplea	12	1
6	12	eappl	1	10
7	4	kiwi	2	2
8	6	wiki	3	3
9	3	gfi	4	11
10	11	leapp	6	12
11	2	igf	9	4
12	10	pleap	10	5

FL- and LF-Mapping – 2

- want to represent both mappings space-efficiently
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$P =$

1	2	3	4
p	l	u	m

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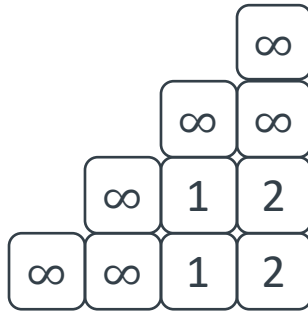
$\langle P[5..] \rangle =$

$\langle P[4..] \rangle =$

$\langle P[3..] \rangle =$

$\langle P[2..] \rangle =$

$\langle P[1..] \rangle =$



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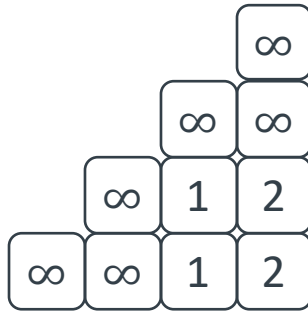
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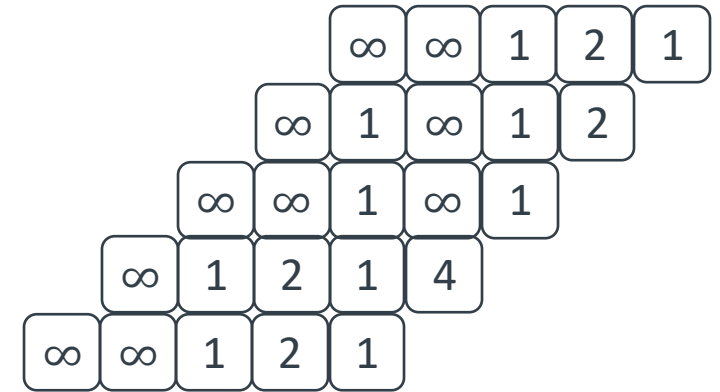
$$\langle P[1..] \cdot P[..1] \rangle =$$

$$\langle P[4..] \cdot P[..4] \rangle =$$

$$\langle P[3..] \cdot P[..3] \rangle =$$

$$\langle P[2..] \cdot P[..2] \rangle =$$

$$\langle P[1..] \cdot P[..1] \rangle =$$



$$\llbracket P \rrbracket = \begin{array}{c} 1 \quad 2 \quad 3 \quad 4 \\ \boxed{0} \quad \boxed{2} \quad \boxed{0} \quad \boxed{0} \end{array}$$

$$P = \begin{array}{c} 1 \quad 2 \quad 3 \quad 4 \\ \boxed{p} \quad \boxed{l} \quad \boxed{u} \quad \boxed{m} \end{array}$$

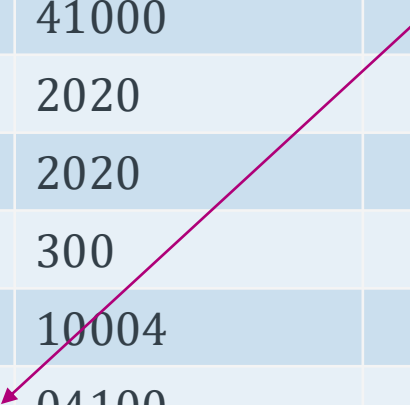
$$\llbracket P \rrbracket_r = \begin{array}{c} 1 \quad 2 \quad 3 \quad 4 \\ \boxed{0} \quad \boxed{3} \quad \boxed{0} \quad \boxed{1} \end{array}$$

FL- and LF-Mapping – 3

i	$CA[i]$	$C(CA[i])$	$FL[i]$	$F[i]$	$\llbracket C(CA[i]) \rrbracket_r$	$L[i]$	$LF[i]$
1	8	apple	5	4	41000	0	6
2	5	iwik	7	2	2020	0	7
3	7	ikiw	8	2	2020	0	8
4	1	fig	11	3	300	0	9
5	9	pplea	12	1	10004	4	1
6	12	eappl	1	0	04100	0	10
7	4	kiwi	2	0	0202	2	2
8	6	wiki	3	0	0202	2	3
9	3	gfi	4	0	030	0	11
10	11	leapp	6	0	00410	0	12
11	2	igf	9	0	003	3	4
12	10	pleap	10	0	00041	1	5

FL- and LF-Mapping – 3

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5	9	pplea	12	1	10004	4	1
6	12	eappl	1	0	04100	0	10
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FL- and LF-Mapping – 4

- e_k : number of occurrences of ∞ in $\langle P[k..] \rangle$
- $j \in \text{CR}(P[k + 1..])$
- if $e_k > 1$ then $LF[j] \in \text{CR}(P[k..]) \Leftrightarrow L[j] = \llbracket P \rrbracket[k]$
- if $e_k = 1$ then $LF[j] \in \text{CR}(P[k..]) \Leftrightarrow L[j] \geq \llbracket P \rrbracket[k]$

i	$CA[i]$	$F[i]$	$L[i]$
1	8	4	0
2	5	2	0
3	7	2	0
4	1	3	0
5	9	1	4
6	12	0	0
7	4	0	2
8	6	0	2
9	3	0	0
10	11	0	0
11	2	0	3
12	10	0	1

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$P =$

1	2	3	4
p	l	u	m

$\llbracket P \rrbracket =$

1	2	3	4
0	2	0	0

i	$CA[i]$	$F[i]$	$L[i]$
1	8	4	0
2	5	2	0
3	7	2	0
4	1	3	0
5	9	1	4
6	12	0	0
7	4	0	2
8	6	0	2
9	3	0	0
10	11	0	0
11	2	0	3
12	10	0	1

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$P =$

1	2	3	4
p	l	u	m

$\llbracket P \rrbracket =$

1	2	3	4
0	2	0	0

k	e_k	$\llbracket P \rrbracket[k]$	$CR(P[k + 1..])$
4	1	0	[1..12]
3	2	0	
2	1	2	
1	2	0	

i	$CA[i]$	$F[i]$	$L[i]$
1	8	4	0
2	5	2	0
3	7	2	0
4	1	3	0
5	9	1	4
6	12	0	0
7	4	0	2
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12	10	0	1

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$P =$

1	2	3	4
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$\llbracket P \rrbracket =$

1	2	3	4
0	2	0	0

k	e_k	$\llbracket P \rrbracket[k]$	$CR(P[k + 1..])$
4	1	0	[1..12]
3	2	0	[1..12]
2	1	2	
1	2	0	

i	$CA[i]$	$F[i]$	$L[i]$
1	8	4	0
2	5	2	0
3	7	2	0
4	1	3	0
5	9	1	4
6	12	0	0
7	4	0	2
8	6	0	2
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4	1	0	[1..12]
3	2	0	[1..12]
2	1	2	[6..12]
1	2	0	

i	$CA[i]$	$F[i]$	$L[i]$
1	8	4	0
2	5	2	0
3	7	2	0
4	1	3	0
5	9	1	4
6	12	0	0
7	4	0	2
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9	3	0	0
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2	5	2	0
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p	l	u	m

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1	2	3	4
0	2	0	0

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3	2	0	[1..12]
2	1	2	[6..12]
1	2	0	[2..4]

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1	8	4	0
2	5	2	0
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7	4	0	2
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1	2	3	4
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$\llbracket P \rrbracket =$

1	2	3	4
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4	1	3	0
5	9	1	4
6	12	0	0
7	4	0	2
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1	2	3	4
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1	2	3	4
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k	e_k	$\llbracket P \rrbracket[k]$	$CR(P[k + 1..])$
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2	1	2	[6..12]
1	2	0	[2..4]

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2	5	2	0
3	7	2	0
4	1	3	0
5	9	1	4
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7	4	0	2
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9	3	0	0
10	11	0	0
11	2	0	3
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Then What?

- update conjugate ranges time-efficiently (**independent** of text length n)
- resulting index (**cBWT**) has **dynamic** and **static** variants
 - static variant is straightforward adaptation of index by [Kim and Cho '21]
 - dynamic variant uses a modified LCP-array by [Hashimoto+ '22, Iseri+ '24]
- at the core of the **construction** algorithm:
 - construction of **single text index**
 - **extension** of existing index by another text
- construction adapts techniques by [Hashimoto+ '22, Iseri+ '24]

Summary & Future Work

- cBWT index:
 - solves CTPM to **multiple** and (optionally) **circular** texts
 - **dynamic** variant: $O(n \log \sigma)$ bits of space and CTPM in $O(mt)$ time
 - **static** variant: $3n + o(n)$ bits of space and CTPM in $O(m)$ time
 - both variants constructed in $O(n \log \sigma)$ bits of space and $O(nt)$ time
- future work:
 - less space
 - implementation

$$t = \frac{\log \sigma \log n}{\log \log n}$$