# Master Theorem

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Source: [THC09]

### 1 Statement

Let  $a \ge 1$  and b > 1 be constants, let f(n) be a function, and define the complexity  $T: \mathbb{N} \to \mathbb{Z}$  as

$$T(n) = aT(n/b) + f(n) \tag{1}$$

where we interpret n/b to mean either  $\lceil n/b \rceil$  or  $\lfloor n/b \rfloor$ . Then T(n) has the following asymptotic bounds:

- 1. If  $f(n) = O(n^{\log_b a \varepsilon})$  for some constant  $\varepsilon > 0$ , then  $T(n) = \Theta(n^{\log_b a})$ .
- 2. If  $f(n) = \Theta(n^{\log_b a})$ , then  $T(n) = \Theta(n^{\log_b a} \lg n)$ .
- 3. If  $f(n) = \Omega\left(n^{\log_b a + \varepsilon}\right)$  for some constant  $\varepsilon > 0$ , and if  $af(n/b) \le cf(n)$  for some constant c < 1 and all sufficiently large n then  $T(n) = \Theta\{f(n)\}$ .

# 2 Derivation

Before we start, assume the complexity T is a monotonic function. This is plausible because the majority of complexity would be increased as the input size gets bigger. Using the assumption, the following is true.

$$T(\lfloor n/b \rfloor) \le T(n/b) \le T(\lceil n/b \rceil)$$

Modifying a little bit,

$$T(\lfloor n/b \rfloor) \le T(n/b) \le T(\lceil n/b \rceil)$$
  

$$\Rightarrow aT(\lfloor n/b \rfloor) + f(n) \le aT(n/b) + f(n) \le aT(\lceil n/b \rceil) + f(n)$$

Let 
$$T_1(n) = aT(\lfloor n/b \rfloor) + f(n)$$
,  $T_2(n) = aT(\lceil n/b \rceil) + f(n)$ , then

$$T_1(n) \leq T(n) \leq T_2(n)$$

That is,  $T_1$  is a lower bound of T, while  $T_2$  is an upper bound of T. If  $T_1$  and  $T_2$  are the same in the asymptotic sense, then so is T, which we will go through. To make this happen, we have to resolve the two recurrence respectively.

1. 
$$T(n) = aT(\lfloor n/b \rfloor) + f(n)$$

2. 
$$T(n) = aT(\lceil n/b \rceil) + f(n)$$

Then check if they match each other.

### 2.1 upper bound of T

The upper bound is the solution of

$$T(n) = aT(\lceil n/b \rceil) + f(n) \tag{2}$$

Assume

$$T(n) = \Theta(1)$$
 if  $n \le s$  (3)

where s > b/(b-1). Since b/(b-1) is a finite value, the assumption is legitimate. Let

$$n_i \stackrel{\text{def}}{=} \begin{cases} n & i = 0 \\ \lceil n_{i-1}/b \rceil & i = 1, 2, \dots \end{cases}$$

Then, (2) is expressed as

$$T(n) = aT(n_1) + f(n)$$

By replacing n with  $n_1$ , and multiplying a on the both hand sides, we get

$$aT(n_1) = a^2T(n_2) + af(n_1)$$

Again, do the same action on the above equation.

$$a^{2}T(n_{2}) = a^{3}T(n_{3}) + a^{2}f(n_{2})$$

In this manner, we get the series of equations. Add them up all.

$$T(n) = aT(n_{1}) + f(n)$$

$$aT(n_{1}) = a^{2}T(n_{2}) + af(n_{1})$$

$$\vdots$$

$$a^{k-1}T(n_{k-1}) = a^{k}T(n_{k}) + a^{k-1}f(n_{k-1})$$

$$T(n) = a^{k}T(n_{k}) + g(n)$$
(4)

where

$$n_k \le s < n_{k-1}$$
, and  $g(n) = \sum_{r=0}^{k-1} a^r f(n_r)$  (5)

To resolve k, let's take a look at (5)

$$s \ge n_k = \left\lceil \frac{n_{k-1}}{b} \right\rceil \ge \frac{n_{k-1}}{b}$$

$$\Rightarrow sb \ge n_{k-1}$$

$$\vdots$$

$$\Rightarrow sb^k \ge n_0 = n$$

$$\Rightarrow \frac{n}{s} \le b^k$$

$$\therefore b^k = \Omega(n)$$
(6)

Again from (5),

$$s < n_{k-1} = \left\lceil \frac{n_{k-2}}{b} \right\rceil < \frac{n_{k-2}}{b} + 1$$

$$\Rightarrow sb < n_{k-2} + b = \left\lceil \frac{n_{k-3}}{b} \right\rceil + b < \frac{n_{k-3}}{b} + 1 + b$$

$$\Rightarrow sb^{2} < n_{k-3} + b + b^{2}$$

$$\vdots$$

$$\Rightarrow sb^{k-1} < n_{0} + b + \dots + b^{k-1} = n + b \frac{b^{k-1} - 1}{b - 1}$$

$$\Rightarrow \left( s - \frac{b}{b - 1} \right) b^{k-1} < n - \frac{b}{b - 1}$$

$$\Rightarrow b^{k} < \frac{b}{s - \frac{b}{b - 1}} \left( n - \frac{b}{b - 1} \right)$$

$$\therefore b^{k} = O(n)$$

$$(7)$$

From (6), (7)

$$b^k = \Theta(n) \tag{8}$$

or for some constant  $c_1$  and  $c_2$ ,

$$c_1 n \le b^k \le c_2 n$$
  

$$\Rightarrow \log_b c_1 + \log_b n \le k \le \log_b c_2 + \log_b n$$

Here, note that

$$k = \Theta(\lg n) \tag{9}$$

and keep continue to process the inequality.

$$\log_b c_1 + \log_b n \le k \le \log_b c_2 + \log_b n$$

$$\Rightarrow a^{\log_b c_1 + \log_b n} \le a^k \le a^{\log_b c_2 + \log_b n}$$

$$\Rightarrow a^{\log_b c_1} n^{\log_b a} \le a^k \le a^{\log_b c_2} n^{\log_b a}$$

$$\therefore a^k = \Theta\left(n^{\log_b a}\right) \tag{10}$$

By (3) and (10), (4) becomes

$$T(n) = a^{k} = \Theta\left(n^{\log_{b} a}\right) + g(n) \tag{11}$$

Here, we distinguish g(n) into three cases.

- 1.  $f(n) = O(n^{\log_b a \varepsilon})$  for some constant  $\varepsilon > 0$
- 2.  $f(n) = \Theta(n^{\log_b a})$
- 3.  $f(n) = \Omega\left(n^{\log_b a + \varepsilon}\right)$  for some constant  $\varepsilon > 0$ , and if  $af(\lceil n/b \rceil) \le cf(n)$  for some constant c < 1 and all sufficiently large n

#### 2.1.1 Case 1

Note that

$$n_r^{\log_b a - \varepsilon} = \left\lceil \frac{n_{r-1}}{b} \right\rceil^{\log_b a - \varepsilon}$$

$$\leq \left( \frac{n_{r-1}}{b} + 1 \right)^{\log_b a - \varepsilon}$$

$$\leq \left( \frac{1}{b} \right)^{\log_b a - \varepsilon} (n_{r-1} + b)^{\log_b a - \varepsilon}$$

There is a constant  $c_{r-1} > 0$  such that

$$n_r^{\log_b a - \varepsilon} \le \left(\frac{1}{b}\right)^{\log_b a - \varepsilon} c_{r-1} n_{r-1}^{\log_b a - \varepsilon}$$
 for all sufficiently large  $n$ 

Applying this action recursively, there is a constant  $c_0 > 0$  such that

$$n_r^{\log_b a - \varepsilon} \le \left(\frac{1}{b}\right)^{r(\log_b a - \varepsilon)} c_0 n_0^{\log_b a - \varepsilon} = \left(\frac{b^{\varepsilon}}{a}\right)^r c_0 n^{\log_b a - \varepsilon} \tag{12}$$

for all sufficiently large n. From the case assumption,

$$f\left(n_{r}\right) = O\left(n_{r}^{\log_{b} a - \varepsilon}\right)$$

There is a constant c > 0 such that

$$f(n_r) \le c n_r^{\log_b a - \varepsilon}$$

for all sufficiently large n. Using (31),

$$f(n_r) \leq \left(\frac{b^{\varepsilon}}{a}\right)^r cc_0 n^{\log_b a - \varepsilon}$$

$$\Rightarrow a^r f(n_r) \leq cc_0 b^{\varepsilon r} n^{\log_b a - \varepsilon}$$

$$\Rightarrow \sum_{r=0}^{k-1} a^r f(n_r) \leq \sum_{r=0}^{k-1} cc_0 b^{\varepsilon r} n^{\log_b a - \varepsilon}$$

$$\Rightarrow g(n) \leq \sum_{r=0}^{k-1} cc_0 b^{\varepsilon r} n^{\log_b a - \varepsilon}$$

$$(13)$$

Since b > 1 and  $\varepsilon > 0$ ,

$$g(n) \le cc_0 \frac{b^{\varepsilon k} - 1}{b^{\varepsilon} - 1} n^{\log_b a - \varepsilon}$$

Using (8),

$$g(n) \le \Theta(n^{\varepsilon}) n^{\log_b a - \varepsilon} = \Theta(n^{\varepsilon}) n^{\log_b a - \varepsilon} = \Theta\left(n^{\log_b a}\right)$$
$$\therefore g(n) = O\left(n^{\log_b a}\right)$$

From (11),

$$T\left(n\right) = \Theta\left(n^{\log_b a}\right) + O\left(n^{\log_b a}\right) = \Theta\left(n^{\log_b a}\right)$$

#### 2.1.2 Case 2

Comparing to Case 1, the only difference is  $\varepsilon$ , and there is no necessary condition during the process of Case 1 until (13). Hence, by putting  $\varepsilon = 0$ , (13) becomes

$$g(n) \le \sum_{r=0}^{k-1} cc_0 n^{\log_b a} = cc_0 k n^{\log_b a}$$

By (9),

$$g(n) \le \Theta(\lg n) n^{\log_b a} = \Theta\left(n^{\log_b a} \lg n\right)$$

$$\therefore g(n) = O\left(n^{\log_b a} \lg n\right)$$
(14)

Meanwhile,

$$n_r^{\log_b a} = \left\lceil \frac{n_{r-1}}{b} \right\rceil^{\log_b a}$$

$$\geq \left( \frac{n_{r-1}}{b} \right)^{\log_b a}$$

$$= \left( \frac{1}{b} \right)^{\log_b a} n_{r-1}^{\log_b a}$$

$$= \frac{1}{a} n_{r-1}^{\log_b a}$$

Repeating recursively,

$$n_r^{\log_b a} \ge \left(\frac{1}{a}\right)^r n^{\log_b a}$$

$$\Rightarrow a^r n_r^{\log_b a} \ge n^{\log_b a}$$

$$\Rightarrow \sum_{r=0}^{k-1} a^r n_r^{\log_b a} \ge \sum_{r=0}^{k-1} n^{\log_b a} = k n^{\log_b a}$$

$$\Rightarrow g(n) \ge k n^{\log_b a}$$

Using (9),

$$g(n) \ge \Theta(\lg n) n^{\log_b a} = \Theta\left(n^{\log_b a} \lg n\right)$$

$$g(n) = \Omega\left(n^{\log_b a} \lg n\right)$$
(15)

From (14) and (15),

$$g(n) = \Theta\left(n^{\log_b a} \lg n\right)$$

Consequently, (11) becomes

$$T\left(n\right) = \Theta\left(n^{\log_b a}\right) + \Theta\left(n^{\log_b a} \lg n\right) = \Theta\left(n^{\log_b a} \lg n\right)$$

#### 2.1.3 Case 3

Since  $f(n) = \Omega(n^{\log_b a + \varepsilon})$ , from (11),

$$T(n) = \Theta\left(n^{\log_b a}\right) + \sum_{r=0}^{k-1} a^r f(n_r)$$

$$= \Theta\left(n^{\log_b a}\right) + f(n)$$

$$\therefore T(n) = \Omega\left\{f(n)\right\}$$
(16)

Back to the summation at the early stage, apply  $af(\lceil n/b \rceil) \le cf(n)$ .

From (10),

$$T(n) \le \Theta\left(n^{\log_b a}\right) + \sum_{r=0}^{k-1} c^r f(n)$$

Since  $c < 1, \sum_{r=0}^{\infty} c^r < \infty$ . Thus,

$$\begin{split} T\left(n\right) &\leq \Theta\left(n^{\log_b a}\right) + \frac{1}{1-c}f\left(n\right) \\ &\leq \Theta\left(n^{\log_b a}\right) + \Theta\left\{f\left(n\right)\right\} \\ &\leq \Theta\left\{f\left(n\right)\right\} & \text{since } f\left(n\right) = \Omega\left(n^{\log_b a + \varepsilon}\right) \end{split}$$

$$\therefore T(n) = O\{f(n)\} \tag{17}$$

From (16) and (17),

$$T(n) = \Theta\{f(n)\}$$

#### 2.2 lower bound of T

The lower bound is the solution of

$$T(n) = aT(|n/b|) + f(n)$$
(18)

and is solvable in a similar manner with that of upper bound. Assume

$$T(n) = \Theta(1) \quad \text{if } n \le s \tag{19}$$

where s is some constant. Let

$$n_i \stackrel{\text{def}}{=} \begin{cases} n & i = 0 \\ \lfloor n_{i-1}/b \rfloor & i = 1, 2, \dots \end{cases}$$

Then, (18) is expressed as

$$T(n) = aT(n_1) + f(n)$$

By replacing n with  $n_1$ , and multiplying a on the both hand sides, we get

$$aT(n_1) = a^2T(n_2) + af(n_1)$$

Again, do the same action on the above equation.

$$a^{2}T(n_{2}) = a^{3}T(n_{3}) + a^{2}f(n_{2})$$

In this manner, we get the series of equations. Add them up all.

$$T(n) = aT(n_1) + f(n)$$

$$aT(n_1) = a^2T(n_2) + af(n_1)$$

$$\vdots$$

$$a^{k-1}T(n_{k-1}) = a^kT(n_k) + a^{k-1}f(n_{k-1})$$

$$T(n) = a^kT(n_k) + g(n)$$
(20)

where

$$n_k \le s < n_{k-1}$$
, and  $g(n) = \sum_{r=0}^{k-1} a^r f(n_r)$  (21)

To resolve k, let's take a look at (21)

$$s \ge n_k = \left\lfloor \frac{n_{k-1}}{b} \right\rfloor > \frac{n_{k-1}}{b} - 1$$

$$\Rightarrow sb > n_{k-1} - b$$

$$\Rightarrow sb > \frac{n_{k-2}}{b} - 1 - b$$

$$\Rightarrow sb^2 > n_{k-2} - b - b^2$$

$$\vdots$$

$$\Rightarrow sb^k > n_0 - b - \dots - b^k = n - b \frac{b^k - 1}{b - 1}$$

$$\Rightarrow \left( s + \frac{b}{b - 1} \right) b^k > n + \frac{b}{b - 1}$$

$$\Rightarrow b^k > \frac{1}{s + \frac{b}{b - 1}} \left( n + \frac{b}{b - 1} \right)$$

$$\therefore b^k = \Omega(n)$$
(22)

Again from (21),

$$s < n_{k-1} = \left\lfloor \frac{n_{k-2}}{b} \right\rfloor \le \frac{n_{k-2}}{b}$$

$$\Rightarrow sb \le n_{k-2}$$

$$\vdots$$

$$\Rightarrow sb^{k-1} \le n_0 = n$$

$$\Rightarrow b^k \le \frac{b}{s}n$$

$$\therefore b^k = O(n)$$
(23)

From (22), (23)

$$b^k = \Theta(n) \tag{24}$$

or for some constant  $c_1$  and  $c_2$ ,

$$c_1 n \le b^k \le c_2 n$$
  

$$\Rightarrow \log_b c_1 + \log_b n \le k \le \log_b c_2 + \log_b n$$

Here, note that

$$k = \Theta(\lg n) \tag{25}$$

and keep continue to process the inequality.

$$\log_b c_1 + \log_b n \le k \le \log_b c_2 + \log_b n$$

$$\Rightarrow a^{\log_b c_1 + \log_b n} \le a^k \le a^{\log_b c_2 + \log_b n}$$

$$\Rightarrow a^{\log_b c_1} n^{\log_b a} < a^k < a^{\log_b c_2} n^{\log_b a}$$

$$\therefore a^k = \Theta\left(n^{\log_b a}\right) \tag{26}$$

By (19) and (26), (20) becomes

$$T(n) = a^{k} = \Theta\left(n^{\log_{b} a}\right) + g(n)$$
(27)

Here, we distinguish g(n) into three cases.

- 1.  $f(n) = O(n^{\log_b a \varepsilon})$  for some constant  $\varepsilon > 0$
- 2.  $f(n) = \Theta(n^{\log_b a})$
- 3.  $f(n) = \Omega\left(n^{\log_b a + \varepsilon}\right)$  for some constant  $\varepsilon > 0$ , and if  $af(\lfloor n/b \rfloor) \le cf(n)$  for some constant c < 1 and all sufficiently large n

#### 2.2.1 Case 1

Note that

$$n_r^{\log_b a - \varepsilon} = \left\lfloor \frac{n_{r-1}}{b} \right\rfloor^{\log_b a - \varepsilon}$$

$$\leq \left( \frac{n_{r-1}}{b} \right)^{\log_b a - \varepsilon}$$

$$\leq \left( \frac{1}{b} \right)^{\log_b a - \varepsilon} n_{r-1}^{\log_b a - \varepsilon}$$

Applying this action recursively,

$$n_r^{\log_b a - \varepsilon} \le \left(\frac{1}{b}\right)^{r(\log_b a - \varepsilon)} n_0^{\log_b a - \varepsilon} = \left(\frac{b^{\varepsilon}}{a}\right)^r n^{\log_b a - \varepsilon} \tag{28}$$

From the case assumption,

$$f(n_r) = O\left(n_r^{\log_b a - \varepsilon}\right)$$

There is a constant c > 0 such that

$$f(n_r) \le c n_r^{\log_b a - \varepsilon}$$

for all sufficiently large n. Using (28),

$$f(n_r) \leq \left(\frac{b^{\varepsilon}}{a}\right)^r c n^{\log_b a - \varepsilon}$$

$$\Rightarrow a^r f(n_r) \leq c b^{\varepsilon r} n^{\log_b a - \varepsilon}$$

$$\Rightarrow \sum_{r=0}^{k-1} a^r f(n_r) \leq \sum_{r=0}^{k-1} c b^{\varepsilon r} n^{\log_b a - \varepsilon}$$

$$\Rightarrow g(n) \leq \sum_{r=0}^{k-1} c b^{\varepsilon r} n^{\log_b a - \varepsilon}$$
(29)

Since b > 1 and  $\varepsilon > 0$ ,

$$g(n) \le c \frac{b^{\varepsilon k} - 1}{b^{\varepsilon} - 1} n^{\log_b a - \varepsilon}$$

Using (24),

$$g(n) \le \Theta(n^{\varepsilon}) n^{\log_b a - \varepsilon} = \Theta(n^{\varepsilon}) n^{\log_b a - \varepsilon} = \Theta(n^{\log_b a})$$

$$\therefore g(n) = O\left(n^{\log_b a}\right)$$

From (27),

$$T\left(n\right) = \Theta\left(n^{\log_b a}\right) + O\left(n^{\log_b a}\right) = \Theta\left(n^{\log_b a}\right)$$

#### 2.2.2 Case 2

Comparing to Case 1, the only difference is  $\varepsilon$ , and there is no necessary condition during the process of Case 1 until (29). Hence, by putting  $\varepsilon = 0$ , (29) becomes

$$g(n) \le \sum_{r=0}^{k-1} c n^{\log_b a} = ck n^{\log_b a}$$

By (25),

$$g(n) \le \Theta(\lg n) n^{\log_b a} = \Theta\left(n^{\log_b a} \lg n\right)$$

$$\therefore g(n) = O\left(n^{\log_b a} \lg n\right)$$
(30)

Meanwhile,

$$n_r^{\log_b a} = \left\lfloor \frac{n_{r-1}}{b} \right\rfloor^{\log_b a}$$

$$> \left( \frac{n_{r-1}}{b} - 1 \right)^{\log_b a}$$

$$= \left( \frac{1}{b} \right)^{\log_b a} (n_{r-1} - b)^{\log_b a}$$

$$= \frac{1}{a} (n_{r-1} - b)^{\log_b a}$$

There is a constant  $c_{r-1} > 0$  such that

$$n_r^{\log_b a} > \frac{1}{a} c_{r-1} n_{r-1}^{\log_b a}$$

for all sufficiently large n. Applying this action recursively, there is a constant  $c_0 > 0$  such that

$$n_r^{\log_b a} > \left(\frac{1}{a}\right)^r c_0 n_0^{\log_b a} = \left(\frac{1}{a}\right)^r c_0 n^{\log_b a} \tag{31}$$

for all sufficiently large n. From the case assumption,

$$f\left(n_r\right) = \Theta\left(n_r^{\log_b a}\right)$$

There is a constant c such that

$$f(n_r) \ge c n_r^{\log_b a}$$

for all sufficiently large n. Using (31),

$$f(n_r) > \left(\frac{1}{a}\right)^r cc_0 n^{\log_b a}$$

$$\Rightarrow a^r f(n_r) > cc_0 n^{\log_b a}$$

$$\Rightarrow \sum_{r=0}^{k-1} a^r f(n_r) > \sum_{r=0}^{k-1} cc_0 n^{\log_b a}$$

$$\Rightarrow g(n) > cc_0 k n^{\log_b a}$$

Using (25),

$$g(n) > \Theta(\lg n) n^{\log_b a} = \Theta\left(n^{\log_b a} \lg n\right)$$

$$g(n) = \Omega\left(n^{\log_b a} \lg n\right)$$
(32)

From (30) and (32),

$$g(n) = \Theta\left(n^{\log_b a} \lg n\right)$$

Consequently, (27) becomes

$$T(n) = \Theta\left(n^{\log_b a}\right) + \Theta\left(n^{\log_b a} \lg n\right) = \Theta\left(n^{\log_b a} \lg n\right)$$

#### 2.2.3 Case 3

Since  $f(n) = \Omega(n^{\log_b a + \varepsilon})$ , from (27),

$$T(n) = \Theta\left(n^{\log_b a}\right) + \sum_{r=0}^{k-1} a^r f(n_r)$$

$$= \Theta\left(n^{\log_b a}\right) + f(n)$$

$$\therefore T(n) = \Omega\{f(n)\}$$
(33)

Back to the summation at the early stage, apply  $af(\lfloor n/b \rfloor) \le cf(n)$ .

$$T(n) = aT(n_1) + f(n) \qquad \leq aT(n_1) + f(n) \qquad \leq a^2T(n_2) + cf(n) \qquad \leq a^2T(n_2) + cf(n) \qquad \leq a^2T(n_2) + cf(n) \qquad \leq a^{k-1}T(n_{k-1}) = a^kT(n_k) + a^{k-1}f(n_{k-1}) \qquad \leq a^kT(n_k) + c^{k-1}f(n) \qquad \qquad \leq a^kT(n_k) + c^{k-1}$$

From (26),

$$T(n) \le \Theta\left(n^{\log_b a}\right) + \sum_{r=0}^{k-1} c^r f(n)$$

Since c < 1,  $\sum_{r=0}^{\infty} c^r < \infty$ . Thus,

$$T(n) \leq \Theta\left(n^{\log_b a}\right) + \frac{1}{1 - c}f(n)$$

$$\leq \Theta\left(n^{\log_b a}\right) + \Theta\left\{f(n)\right\}$$

$$\leq \Theta\left\{f(n)\right\} \qquad \text{since } f(n) = \Omega\left(n^{\log_b a + \varepsilon}\right)$$

$$\therefore T(n) = O\left\{f(n)\right\} \tag{34}$$

From (33) and (34),

$$T(n) = \Theta\{f(n)\}$$

#### 2.3 Sandwich

We've checked the upper and lower bounds are coincident, hence the solutions of each cases are valid for all n.

## 3 Rationale

For the Case 3 at Sec (2.1) and Sec (2.2), one condition is differ from the other one.

- 1.  $af(\lceil n/b \rceil) \leq cf(n)$
- 2.  $af(|n/b|) \le cf(n)$

I setup both assumptions to deduce the result. However, given  $f(n) = \Omega\left(n^{\log_b a + \varepsilon}\right)$ ,  $af(n/b) \le cf(n)$  doesn't imply  $af(\lceil n/b \rceil) \le cf(n)$  and  $af(\lceil n/b \rceil) \le cf(n)$  generally. This is a hole in this paper.

# References

[THC09] Ronald L. Rivest Thomas H. Cormen, Charles E. Leiserson. *Introduction to Algorithms*, page 94. The MIT Press, 3rd edition, 2009.