# A Sample Article for the LIPIcs series\*

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#### Abstract

We examine optimal and near optimal solutions to the classic binary search tree problem of Knuth. We are given a set of n keys  $B_1, B_2, ..., B_n$  and 2n+1 frequencies.  $p_1, p_2, ..., p_n$  represent the probabilities of searching for each given key, and  $q_0, q_1, ..., q_n$  represent the probabilities of searching in the gaps between and outside of these keys. We have that  $\sum_{i=0}^n q_i + \sum_{i=1}^n p_i = 1$ . First, we re-examine an approximate solution of Güttler, Melhorn and Schneider which was shown to have a worst case bound of  $c \cdot H + 2$  where  $c \ge \frac{1}{H(\frac{1}{3},\frac{2}{3})} \approx 1.08$ , and  $H = \sum_{i=1}^n p_i \cdot \lg(\frac{1}{p_i}) + \sum_{j=0}^n q_i \cdot \lg(\frac{1}{q_j})$  is the entropy of the distribution. We give an improved worst case bound on the heuristic of H + 4. Next, we examine the optimum binary search tree problem under a model of external memory. We use the Hierarchical Memory Model of Aggarwal et al. The model has an unlimited number of registers,  $R_1, R_2, \ldots$  each with its own location in memory (a positive integer). We have a set of memory sizes  $m_1, m_2, \ldots, m_l$  which are monotonically increasing. Each memory level has a finite size except  $m_l$  which we assume has infinite size. Each memory level has an associated cost of access  $c_1, c_2, \ldots, c_l$ . We assume that  $c_1 < c_2 < \ldots < c_l$ . We propose an approximate solutions which run in O(n) time where n is the number of words in our data set. We also examine the related problem of binary trees on multisets of probabilities where keys are unordered and we do not differentiate between which probabilities must be leaves, and which must be internal nodes. We provide a simple  $O(n \lg(n))$  algorithm that is within an additive  $\frac{n+1}{2n}$  of optimal on a multiset of n keys.

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# 1 Introduction and Background

In this chapter we provide an introduction to binary search trees and the optimum binary search tree problem. We also give motivation for studying binary search trees and give an overview of the work presented in this thesis. We note that for the entirety of this work, we will use  $\log_2$ .

Knuth first proposed the optimum binary search tree problem in 1971 [?]. We are given a set of n keys (originally known as words),  $B_1, B_2, ..., B_n$  and 2n + 1 frequencies.  $p_1, p_2, ..., p_n$  represent the probabilities of searching for each given key, and  $q_0, q_1, ..., q_n$  represent the

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probabilities of searching in the gaps between and outside of these keys. We have that

$$\sum_{i=0}^{n} q_i + \sum_{i=1}^{n} p_i = 1$$

We also assume without loss of generality that  $q_{i-1} + p_i + q_i \neq 0$  for any  $i \in \{1, ..., n\}$ . Otherwise, we could simply solve the problem with key  $p_i$  removed. The keys must make up the internal nodes of the tree while the gaps make up the leaves. Our goal is to construct a binary search tree such that expected cost of search is minimized. This expected cost of search is also sometimes referred to as the expected path length. It is formally defined as:

$$P = \sum_{i=1}^{n} p_i \cdot (d_T(B_i) + 1) + \sum_{j=0}^{n} q_j \cdot (d_T(B_j, B_{j+1}))$$
(1)

where  $p_i$  and  $q_j$  are the probabilities of searching for key  $B_i$  or gap  $(B_{i-1}, B_i)$  respectively and  $d_T(B_i)$  and  $d_T(B_j, B_{j+1})$  are the depths of the internal node for  $B_i$  and the leaf for  $(B_j, B_{j-1})$  respectively in the tree T. Note that we assume that  $B_0$  represents  $-\infty$  and  $B_{n+1}$  represents  $\infty$ . Note that we charge 1 extra to search for a key at depth l than a leaf at depth l because it requires an extra operation to confirm an internal node, whereas we do not need this confirmation if the node is a leaf. The optimal solution of Knuth uses dynamic programming and requires  $\Theta(n^2)$  time, and  $\Theta(n^2)$  space [?]. This solution is both time and space intensive. We will later examine an approximate solution to this problem of Güttler, Mehlhorn and Schneider (the Modified Entropy Rule) which uses  $O(n^2)$  time but O(n) space [?]. We will improve its worst-case expected search cost bound. While all of the aforementioned algorithms examine the problem in the RAM model, we will also examine the problem in more realistic models of memory and look at approximate solutions under these settings.

While modern computers typically only support two-way branching, the optimum binary search tree (BST) problem proposed by Knuth uses the three-way branch model. This model allows a single comparison operation to transfer control to three different locations.

Examples of this can be seen in FORTRAN IV which describes the arithmetic IF [?]: IF (EXPR) LABEL1, LABEL2, LABEL3

Control is transferred to LABEL1, LABEL2 or LABEL3 if expr < 0, expr = 0, or expr > 0 respectively using a single comparison command. While modern programming languages scarcely use this arithmetic IF, and compilers may simply encode such expressions using multiple logical if statements, many machines in in the FORTRAN IV era did. For example, the ARM instruction set would utilize condition codes based on comparison operations which could express negative, zero, or positive values. The condition codes would then be examined to determine control flow [?].

In 1971, C. Gotlieb and Walker gave an approximate solution to the optimum binary search tree problem [?]. Knuth shortly thereafter gave the first optimal solution [?]. Knuth's optimal solution requires  $O(n^2)$  time and space which is too costly in many situations. Several others have since examined the approximate version of the problem. While unable to bound an approximate algorithm within a constant of the optimal solution, many authors have been able to bound the cost based on the entropy of the distribution of probabilities, H. Specifically,

$$H = \sum_{i=1}^{n} p_i \cdot \lg(\frac{1}{p_i}) + \sum_{i=0}^{n} q_i \cdot \lg(\frac{1}{q_i}).$$

In 1975, P. Bayer showed that

$$H - \lg H - (\lg e - 1) \le C_{Opt} \le C_{WB}, C_{MM} \le H + 2$$

where  $C_{Opt}$ ,  $C_{WB}$ , and  $C_{MM}$  are costs for the optimal solution, as well as weight-balanced method of Knuth [?] and min-max heuristic of P. Bayer [?]. Weight-balanced and min-max cost heuristics are greedy and require both O(n) time and O(n) space to run with the O(n) implementations due to Fredman [?]. These greedy heuristics use a top-down approach where the tree root is selected from among the n keys, and we recurse in both the left and right subtrees. Let  $P_L(B_i)$  and  $P_R(B_i)$  represent the probabilities of searching for a key before or after key  $B_i$  respectively. The Weight-balanced approach, makes this greedy root selection by picking the root  $B_i$  such that  $|P_L(B_i) - P_R(B_i)|$  is minimized. The min-max heuristic selects the root  $B_i$  such with minimum  $\max(P_L(B_i), P_R(B_i))$ . In 1980, Güttler, Mehlhorn and Schneider presented a new heuristic, the modified entropy rule [?] which built upon the ideas of Horibe [?]. The Entropy Rule greedily selects  $B_i$  as the root such that

$$H(P_L(B_i), p_i, P_R(B_i)) = P_L(B_i) \cdot \lg(\frac{1}{P_L(B_i)}) + p_i \cdot \lg(\frac{1}{p_i}) + P_R(B_i) \cdot \lg(\frac{1}{P_R(B_i)})$$

is maximized. As discussed in Chapter  $\ref{chapter}$ , this was modified to improve its performance. Güttler, Mehlhorn and Schneider gave empirical evidence that the modified heuristic outperformed others [?]. While the heuristic took  $O(n^2)$  time, it only required O(n) space, a huge savings over the optimal solution. However, they were unable to prove that the cost of the modified entropy rule  $C_{ME} \leq H+2$  (unlike previous weight-balanced and min-max heuristics) and settled with  $C_{ME} \leq c_1 \cdot H+2$  where  $c_1 = \frac{1}{H(\frac{1}{3},\frac{2}{3})} \approx 1.08$ . We re-examine this method and provide a new bound of H+4 in Chapter  $\ref{chapter}$ . In 1993, De Prisco and De Santis presented a new heuristic for constructing a near-optimum binary search tree [?]. The method is discussed in more detail in section  $\ref{chapter}$ ? and has an upper bounded cost of at most  $H+1-q_0-q_n+q_{max}$  where  $q_{max}$  is the maximum weight leaf node. This method was later updated by Bose and Douïeb (and is also discussed in section  $\ref{chapter}$ ?) to have a worst case cost of [?]

$$H + 1 - q_0 - q_n + q_{max} - \sum_{i=0}^{m'} pq_{\text{rank}[i]}.$$

Here,  $m' = \max(2n - 3P, P) - 1 \ge \frac{n}{2} - 1$  where P is the number of increasing or decreasing sequences in a left-to-right read of the access probabilities of the leaves (gaps) and,  $pq_{\text{rank}[i]}$  is the  $i^{th}$  smallest access probability among all keys and gaps except  $q_0$  and  $q_n$ .

In Chapter ??, we re-examine the modified entropy rule of Güttler, Mehlhorn and Schneider [?]. This is an  $\Theta(n^2)$  time,  $\Theta(n)$  space, algorithm for approximating the optimum binary search tree problem in the RAM model. The method works very well in practice, and the group had great experimental results, but unfortunately they could not bound the worst case expected cost as well as they would have hoped. While simpler solutions like the Min-max of P. Bayer [?] and Weight Balanced technique of Knuth [?] have worst case costs of at most H+2, the trio's modified entropy technique was only shown to have a worst case expected search cost of at most  $c \cdot H+2$  where  $c \approx 1.08$  [?, ?]. We provide a new argument of the modified entropy rule's worst case expected search cost and show that it is within an additive factor of entropy: at worst H+4. In Chapter ??, we move on to external memory models, examining the optimum binary search tree problem under the Hierarchical Memory Model of Aggarwal et al. [?]. We provide two algorithms which run in O(n) time

and bound their worst case expected costs. We show that the solutions provided both give a direct improvement over a solution of Thite provided under the related  $HMM_2$  model [?]. In Chapter ??, we consider a variant of the optimum binary search tree problem (in the RAM model) where the set of probabilities given are from an unordered multiset. We show that for a multiset with n probabilities, a simple greedy algorithm is within  $\frac{n+1}{2n}$  of optimal.

## 2 An Improved Bound for the Modified Minimum Entropy Heuristic

We show that the Modified Minimum Entropy Heuristic of Güttler, Mehlhorn and Schneider [?] is within an additive factor of entropy: at worst H+4. The previous bound was best upper bound was  $c_1 \cdot H + 2$  where  $c_1 = \frac{1}{H(\frac{1}{3}, \frac{2}{3})} \approx 1.08$ .

Recall equation 1,  $H = \sum_{i=1}^n p_i \cdot \lg(\frac{1}{p_i}) + \sum_{j=0}^n q_i \cdot \lg(\frac{1}{q_j})$ . We also use

$$H(x_1, x_2, ..., x_n) = \sum_{i=1}^{n} x_i \cdot \lg(\frac{1}{x_i})$$

to describe the entropy of any probability distribution  $(x_1, x_2, ..., x_n)$ . For subtree t, we let

$$p_t = \sum_{i:B_i \in t} p_i + \sum_{i:(B_i, B_{i+1}) \in t} q_i$$

be its total probability (the sum of the probability of all nodes within the subtree).  $P_L(B_i)$  and  $P_R(B_i)$  are probabilities of searching lexicographically before or after (respectively) key  $B_i$ .  $P_L(B_i, B_{i+1})$  and  $P_R(B_i, B_{i+1})$  are probabilities of searching lexicographically before (or equal to)  $B_i$  and after (or equal to)  $B_{i+1}$  respectively. For a subtree t,  $P_L^t(B_i)$  and  $P_R^t(B_i)$  describe the normalized probabilities of searching for a key to the left or right of  $B_i$  within t, and  $P_L^t(B_i, B_{i+1})$  and  $P_R^t(B_i, B_{i+1})$  have analogous definitions. We let

$$E_t = H(P_L^t(B_i), \frac{p_i}{p_t}, P_R^t(B_i))$$
(2)

be the local entropy of a subtree t rooted at key  $B_i$ .

The entropy rule originally by Horibe [?] for greedy root selection then explain how it was modified in [?]. For a subtree t with probability  $p_t$ , the entropy rule greedily chooses the key  $B_i$  as the root such that  $H(P_L^t(B_i), \frac{p_i}{p_t}, P_R^t(B_i))$  is maximized. While this rule behaves quite well in practice, certain cases cause it to have poor performance (refer to Figure 3.1).

Figure 3.1 demonstrates the shortcomings of the entropy rule heuristic. Given the probability set  $\{q_0 = \frac{1}{5}, p_1 = \frac{1}{5}, q_1 = 0, p_2 = 0, q_3 = \frac{3}{5}\}$  the entropy rule will mistakenly choose key  $B_1$  as the root while selecting  $B_2$  as the root produces a better tree. This mistake is remedied in the modified entropy rule of Güttler, Mehlhorn and Schneider [?]. The modified entropy heuristic chooses the root in one of the following three ways:

- If there exists key  $B_i$  such that  $\frac{p_i}{p_t} > \max(P_L^t(B_i), P_R^t(B_i))$  we always select  $B_i$  as the root.
- If there exists a gap  $(B_i, B_{i+1})$  such that  $\frac{q_i}{p_t} > \max(P_L^t(B_i, B_{i+1}), P_R^t(B_i, B_{i+1}))$  then we select the root from among  $B_i$  and  $B_{i+1}$ .  $B_i$  is chosen if  $P_L^t(B_i, B_{i+1}) > P_R^t(B_i, B_{i+1})$  and  $B_{i+1}$  is chosen otherwise.
- Otherwise,  $B_i$  is selected such that  $H(P_L^t(B_i), \frac{p_i}{p_t}, P_R^t(B_i))$  is maximized (as in the original entropy rule).

The approach proposed by Güttler, Mehlhorn and Schneider takes  $O(n^2)$  time in the worst case and O(n) space.

▶ **Lemma 1.** If  $x \le \frac{1}{2}$  then  $H(x, 1 - x) \ge 2x$ .

**Proof.** We refer the reader to Gallager's 1968 work [?].

Next, we describe a Lemma which breaks our choice of root in the greedy modified entropy heuristic into one of three cases (not to be confused with the three *rules* used in section ??).

▶ **Lemma 2.** When using the modified entropy rule chooses the root  $B_r$  of a subtree t with total probability  $p_t$ , one of the following three cases must occur:

Case 1) 
$$E_t \ge 1 - 2\frac{p_r}{p_t}$$
  
Case 2) There exists  $gap(B_i, B_{i+1})$  such that  $\frac{q_i}{p_t} > max(P_L^t(B_i, B_{i+1}), P_R^t(B_i, B_{i+1}))$   
Case 3)  $max(P_L^t(B_r), P_R^t(B_r)) < \frac{4}{5}$ 

**Proof.** At a high level, we first show that  $Rule\ a)$  from section ?? implies  $Case\ 1$ . We also show that if there exists  $B_i$  such that  $P_L^t(B_i) \leq \frac{1}{2}$  and  $P_R^t(B_i) \leq \frac{1}{2}$ , but cannot apply  $Rule\ a)$ , then we still have  $Case\ 1$ . Assuming that neither of the two aforementioned conditions occur, we must have that there exists some gap  $(B_i, B_{i+1})$  spanning the middle of the data set. Given this condition, we show that if  $Case\ 2$  does not occur (i.e. we cannot use  $Rule\ b$ ) of section ??) then  $Case\ 3$  must occur, completing the proof.

$$Rule \ a) \implies Case \ 1$$

First, suppose there exists some  $p_i$  such that  $\frac{p_i}{p_t} > \max(P_L^t(B_i), P_R^t(B_i))$ . By the Rule a) of section ??, it must be selected as the root and thus r = i. Moreover, both  $P_L^t(B_i)$  and  $P_R^t(B_i)$  must be less than one half. Thus, using Lemma 1 we have:

$$\begin{split} E_t &\geq H(\max(P_L^t(p_i), P_R^t(p_i)), 1 - \max(P_L^t(p_i), P_R^t(p_i)) \\ &\geq 2 \cdot \max(P_L^t(p_i), P_R^t(p_i)) \\ &\geq 1 - \frac{p_i}{p_t} \\ &\geq 1 - 2\frac{p_i}{p_t} = 1 - 2\frac{p_r}{p_t} \end{split}$$

as required.

#### $B_i$ spans middle $\implies$ Case 1

If we do not have some  $p_i$  such that  $\frac{p_i}{p_t} > \max(P_L^t(B_i), P_R^t(B_i))$  but do have some  $B_i$  such that  $P_L^t(B_i) \leq \frac{1}{2}$  and  $P_R^t(B_i) \leq \frac{1}{2}$  then we must use  $Rule\ c$ ) of section ??. We then must have that:

$$E_t \ge H(P_L^t(B_i), \frac{B_i}{p_t}, P_R^t(B_i)) \text{ and}$$

$$0 \le P_L^t(B_i) \le 0.5 \text{ and}$$

$$0 \le \frac{p_i}{p_t} \le 0.5 \text{ and}$$

$$0 \le P_R^t(B_i) \le 0.5$$

then we know that

$$H(P_L^t(p_i), \frac{p_i}{p_t}, P_R^t(p_i)) \ge H(1/2, 1/2) = 1$$

in this case. Thus, combining the above two cases, if have some  $B_i$  such that  $P_L^t(B_i) \leq \frac{1}{2}$  and  $P_R^t(B_i) \leq \frac{1}{2}$  then  $E_t \geq 1 - 2p_r$  as required.

(NOT( $B_i$  spans mid) AND NOT(Case 1) AND NOT(Case 2))  $\Longrightarrow$  Case 3 Otherwise, we must have some gap  $(B_i, B_{i+1})$  spanning the middle of the data set (i.e.  $P_L^t(B_i, B_{i+1}) < \frac{1}{2}$  and  $P_R^t(B_i, B_{i+1}) < \frac{1}{2}$ ). Suppose that Case 2 does not occur (i.e. we cannot use Rule b): there does not exist a  $(B_i, B_{i+1})$  such that  $\frac{q_i}{p_t} > max(P_L^t(B_i, B_{i+1}), P_R^t(B_i, B_{i+1}))$ . Then, for any root r of t we have that

$$\max(P_L^t(B_r), P_R^t(B_r)) \ge \min(P_L^t(B_r), P_R^t(B_r)) \max(P_L^t(B_r), P_R^t(B_r)) \ge q_i$$

Thus, for any root r:

$$\max(P_L^t(p_r), P_R^t(p_r)) \ge 1/3$$

and by our assumption

$$\max(P_L^t(p_r), P_R^t(p_r)) < \frac{1}{2}.$$

So, as in the proof of table 3 (5.3) in [?]

$$E_t \ge H(1/3, 2/3) \approx 0.92.$$

Either Case 1 occurs, or we have that:

$$E_t < 1 - 2\frac{p_r}{p_t}$$

$$\implies \frac{p_r}{p_t} < \frac{1 - H(\frac{1}{3}, \frac{2}{3})}{2} \approx 0.04.$$

Suppose for contradiction that  $\max(P_L^t(p_r), P_R^t(p_r)) \ge \frac{4}{5}p_t$  then we have:

$$E_t \leq H(\frac{4}{5}, \frac{1 - H(\frac{1}{3}, \frac{2}{3})}{2}, \frac{1}{5} - \frac{1 - H(\frac{1}{3}, \frac{2}{3})}{2}) \approx 0.87 < 0.92 \approx H(\frac{1}{3}, \frac{2}{3}) \leq E_t$$

which is a contradiction. Thus, if we do not have  $Case\ 1$  or  $Case\ 2$  we must have  $Case\ 3$  which completes the proof.

Before we examine the main theorem we need a small claim (proven in the appendix TODO).

▶ Claim 1. 
$$H(\frac{1}{2} - \frac{1}{2}x, \frac{1}{2} + \frac{1}{2}x) \ge 1 - \frac{4}{5}x^2$$
 when  $0 < x < \frac{1}{2}$ 

▶ **Theorem 3.** Let  $C_{ME}$  be the expected cost of search for a tree made by the modified entropy rule. Then  $C_{ME} \leq H + 4$ 

**Proof.** This uses a similar style to the proof of Theorem 4.4 in [?]. We bind each  $E_t$  for each subtree of our BST on a case by case basis using the cases of Lemma 2.

If Case 1 occurs, we obviously have that

$$E_t \ge 1 - 2\frac{p_r}{p_t}.\tag{3}$$

Note that this can only happen once for each key (a key can only be root once).

As mentioned in Lemma 2 if some  $B_i$  spans in the middle of the data set,  $P_L^t(B_i) \leq \frac{1}{2}$ and  $P_R^t(B_i) \leq \frac{1}{2}$ , we can still show that Case 1 occurs. Suppose for the remainder of the proof that there is no such middle-spanning  $B_i$ .

Let  $(B_m, B_{m+1})$  be the unique middle gap (i.e.  $P_L^t(B_m, B_{m+1}) < \frac{1}{2}$  and  $P_R^t(B_m, B_{m+1}) < \frac{1}{2}$  $\frac{1}{2}$ ) when Case 2 or Case 3 occurs. When Case 2 occurs, we know that we could select a root from among the two keys outside of our middle spanning gap, and choose the one which is closer to the middle. Thus, we have that (using Lemma 1):

$$E_t \ge H(\frac{1}{2} - \frac{1}{2}\frac{q_m}{p_t}, \frac{1}{2} + \frac{1}{2}\frac{q_m}{p_t}) \ge 2(\frac{1}{2} - \frac{1}{2}\frac{q_m}{p_t}) = 1 - \frac{q_m}{p_t}.$$
 (4)

Note that by the definition of the Rule c) of section ??, when this occurs,  $(B_m, B_{m+1})$  must be a leaf of depth at most 2. Thus, this condition can only happen twice for each  $(B_m, B_{m+1})$  gap.

When neither Case 1 nor Case 2 occur (and we have a  $(B_m, B_{m+1})$  spanning the middle) we must have Case 3. This gives us

$$E_t \ge H(\frac{1}{2} - \frac{1}{2}\frac{q_m}{p_t}, \frac{1}{2} + \frac{1}{2}\frac{q_m}{p_t}).$$

We again apply Claim 2 and get

$$E_t \ge 1 - \frac{4}{5} \left(\frac{q_m}{p_t}\right)^2. \tag{5}$$

As in [?] we define a  $b_t$  for each subtree t as follows. We want to have a value for  $b_t$  such that  $E_t \geq 1 - \frac{b_t}{p_t}$  in all cases. Using Cases 1,2, and 3 are their respective equations 3, 4, and 5 we do just that:

Let  $b_t = 2 \cdot p_r$  when Case 1 occurs.  $B_r$  is the root of  $b_t$ .

Let  $b_t = 2 \cdot q_m$  when Case 2 occurs.  $(B_m, B_{m+1})$  is middle gap of  $b_t$ . Let  $b_t = \frac{q_m^2}{p_t}$  when Case 3 occurs.  $(B_m, B_{m+1})$  is middle gap of  $b_t$ .

Note that, in 1975 P. Bayer [?] showed that the cost C of our tree could be defined as (Lemma 2.3)

$$C = \sum_{t \in S_T} p_t$$

and the entropy could be calculated by

$$H = \sum_{t \in S_T} p_t \cdot E_t$$

where  $S_T$  is the set of all subtrees of our tree T.

Thus, by subbing in  $E_t \ge 1 - \frac{b_t}{p_t}$  and rearranging we get:

$$\begin{split} H &= \sum_{t \in S_T} p_t \cdot E_t \geq \sum_{t \in S_T} p_t - \sum_{t \in S_T} b_t = C - \sum_{t \in S_T} b_t \\ \Longrightarrow C \leq H + \sum_{t \in S_T} b_t \end{split}$$

As mentioned above, Case 1 and Case 2 can only occur once and twice respectively for any potential root  $B_r$  or gap  $(B_m, B_{m+1})$ . Case 3 however, can occur many times for a gap  $(B_m, B_{m+1})$ . Each time it occurs though,  $\frac{q_m}{p_t}$  must increase by a factor of at least  $\frac{5}{4}$  since  $\max(P_L^t(B_r), P_R^t(p_r)) < \frac{4}{5}$  for the root  $B_r$  of the subtree by Case 3) of Lemma 2. Moreover, if  $\frac{q_m}{p_t} > \frac{1}{2}$  then we will have Case 2. Let  $S_m$  be the set of all subtrees t for which  $(B_m, B_{m+1})$  is the middle gap and Case 3 only applies. We have that

$$C \le H + \sum_{t \in S_T} b_t = H + 2\sum_{r=1}^n p_r + 2\sum_{m=0}^n q_m + \sum_{m=0}^n \sum_{t \in S_m} \frac{4}{5} \frac{q_m^2}{p_t}$$

By factoring out  $q_m$  and examining only cases up to  $\frac{q_m}{p_t} = \frac{1}{2}$  (since otherwise Case 2 will occur) we get:

$$C \leq H + 2 + \sum_{m=0}^{n} (\frac{4}{5} \cdot q_m) \sum_{x=0}^{\infty} \frac{1}{2} \cdot (\frac{4}{5})^x$$

$$= H + 2 + \sum_{m=0}^{n} \frac{4}{5} \cdot q_m \cdot \frac{1}{2} \cdot (\frac{1}{1 - \frac{4}{5}}) \text{ (geometric series)}$$

$$= H + 2 + 2 \cdot \sum_{m=0}^{n} q_m$$

$$\leq H + 4.$$

# 3 APPENDIX - TODO AS REAL APPENDIX

► Claim 2. 
$$H(\frac{1}{2} - \frac{1}{2}x, \frac{1}{2} + \frac{1}{2}x) \ge 1 - \frac{4}{5}x^2$$
 when  $0 < x < \frac{1}{2}$ 

**Proof.** In order to prove the claim, we find the minimum of

$$H(\frac{1}{2} - \frac{1}{2}x, \frac{1}{2} + \frac{1}{2}x) - (1 - \frac{4}{5}x^2)$$

when  $0 < x < \frac{1}{2}$ . To do this, we define F(x) and take the derivative with respect to x.

$$\begin{split} F(x) &= H(\frac{1}{2} - \frac{1}{2}x, \frac{1}{2} + \frac{1}{2}x) - (1 - \frac{4}{5}(x)^2) \\ F(x) &= -(\frac{1}{2} - \frac{1}{2}x) \cdot \lg(\frac{1}{2} - \frac{1}{2}x) - (\frac{1}{2} + \frac{1}{2}x) \cdot \lg(\frac{1}{2} + \frac{1}{2}x) - (1 - \frac{4}{5}x^2) \\ \Longrightarrow F'(x) &= \lg(\frac{1}{2} - \frac{1}{2}x) - \lg(\frac{1}{2} + \frac{1}{2}x) + \frac{8}{5}x \text{ (with some careful manipulation)} \end{split}$$

The only root occurs when x=0. Thus, we check when  $x\to 0$  and  $x\to \frac{1}{2}$ . We note that:

$$F'(x) \xrightarrow{x \to 0} 0^+$$
 and 
$$F'(x) \xrightarrow{x \to \frac{1}{2}} 0.0112781 > 0$$

Thus,  $H(\frac{1}{2} - \frac{1}{2}x, \frac{1}{2} + \frac{1}{2}x) - (1 - \frac{4}{5}(x)^2) > 0$  for  $0 < x < \frac{1}{2}$  which proves the claim.

## 4 Typesetting instructions – please read carefully

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#### Listing 1 Useless code

```
for i:=maxint to 0 do
begin
    j:=square(root(i));
end;
```

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**Proof.** Cras purus lorem, pulvinar et fermentum sagittis, suscipit quis magna.

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Acknowledgements. I want to thank ...

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