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Chapter 1

Deranking Menage

TODO

1.1 TODO

- 1. Introduction
- 2. We can also *rank* a given permutation
- 3. Define **derived** complementary board B_{α}^{c} ?
- 4. If we do a cyclic rotation of the rows of a chessboard, we get essentially the same thing.
- 5. Move code to Appendix.
- 6. Define B_{α} and $\overline{B}_{\alpha}^{c}$.
- 7. Do we want to talk about parking functions?
- 8. Is it worthwhile to discuss prefix functions for compositions, etc.?

1.2 Overview and History

In January 2020, Richard Arratia sent out an email announcing a talk he was going to give on de-ranking derangements.

By January 2021, he announced a \$100 prize for solving the analogous problem with ménage permutations. I solved that too.

Richard was interested in a more general question, which I found contagious: Given some family of combinatorial objects that can be quickly counted (say unlabelled simple graphs on n vertices) and some total ordering on them, when is it possible to **derank** the collection in some computationally efficient way?

Of course, we can usually create an algorithm to give the *i*-th object without simply enumerating all of the objects explicitly? We want to "jump in" to a specific place on the list. Another interesting question: what if you get to supply both the total order and the deranking algorithm?

In this chapter we're going to explore that idea. We're going to show a general theory that allows us to de-rank permutations in lexicographic order, derangements in lexicographic order, partitions and compositions of n in lexicographic order, labeled trees by lexicographic order of Prüfer code, Lyndon words [1] (de Bruijn Sequences?), Dyck path in lexicographic order?

1.3 Overarching Theory (count with prefixes)

If we can efficiently count how many objects in $[n]^k$ start with a given prefix (in O(T(n,k)) time), then we can just walk down the possible letters until we get to the right spot (O(nkT(n,k))).

1.3.1 Counting Words With a Given Prefix

TODO: We can reduce this problem to counting words with a given prefix.

Lemma 1.3.1. Let $\mathcal{W}_k \subseteq [n]^k$ be an ordered collection of words of length k on an alphabet of size n, and denote the set of nonempty candidate prefixes by $\mathcal{P}_k = [n] \cup [n]^2 \cup \cdots \cup [n]^k$ Then given a function # prefix: $\mathcal{P}_k \to \mathbb{N}$ that counts the number of words that begin with a given prefix, the i-th word in \mathcal{W}_k when written in lexicographic order is

 $derank_i((1),0)$

which can be computed explictly with nk or fewer recursive calls:

$$\operatorname{derank}_{i}(\alpha,b) = \begin{cases} \alpha & i \in (b,b+\#\operatorname{prefix}(\alpha)] \ and \ \alpha \in \mathscr{W}_{k} \\ \\ \operatorname{derank}_{i}(\alpha',b) & i \in (b,b+\#\operatorname{prefix}(\alpha)] \ and \ \operatorname{len}(\alpha) < k \end{cases} \quad (1.1)$$

$$\operatorname{derank}_{i}(\alpha'',b+\#\operatorname{prefix}(\alpha)) \quad otherwise,$$

where $\alpha = (\alpha_1, \alpha_2, \dots, \alpha_\ell)$, $\alpha' = (\alpha_1, \alpha_2, \dots, \alpha_\ell, 1)$, $\alpha'' = (\alpha_1, \alpha_2, \dots, \alpha_{k-1}, \alpha_\ell + 1)$, and b denotes the number of words in \mathcal{W}_k that occur strictly **before** α .

Proof. TODO (sketch) The second line appends a letter, which can happen at most n times. The third line increments the last letter, which can happen at most k times per position.

By choosing the appropriate counting function #prefix, this translates the problem from the domain of deranking objects to the domain of counting the number of objects with a given prefix. This technique works when we can write our objects as a word in $[n]^k$, and we order the objects by the lexicographic order of the words. In the case that our objects cannot be written as words, or we are interested in an order other than lexicographic order, a different technique must be used.

1.3.2 Ranking words

TODO: We can also take a word $w \in \mathcal{W}_k$ and quickly determine its rank.

1.3.3 Basic Notions of Rook Theory

In the case of deranking derangements and permutations, it is useful to use ideas from Rook Theory. Rook Theory was introduced by Kaplansky [2] Riordan [3] in their 1946 paper *The Problem of the Rooks and its Applications*. In it, they discuss problems of restricted permutations in the language of rooks placed on a chessboard. We begin by introducing some preliminary ideas in this theory.

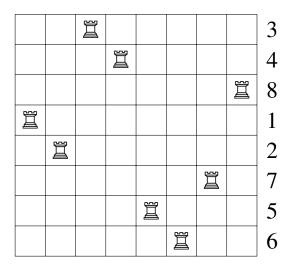


Figure 1.1: An illustration of the rook placement corresponding to the permutation $34812756 \in S_8$. A rook is placed in square $(i, \pi(i))$ for each i.

Definition 1.3.2. A board B is a subset of $[n] \times [n]$ which represents the squares of a $n \times n$ chessboard that rooks are allowed to be placed on. Every board B has a complementary board $B^c = ([n] \times [n]) \setminus B$, which consists of all of the squares of B that a rook cannot be placed on.

To each board, we can associate a generating polynomial that keeps track of the number of ways to place a given number of rooks on the valid squares in such a way that no two rooks are in the same row or column.

Definition 1.3.3. *The rook polynomial associated with a board B,*

$$p_B(x) = r_0 + r_1 x + r_2 x^2 + \dots + r_n x^n,$$

is a generating polynomial where r_k denotes the number of k-element subsets of B such that no two elements share an x-coordinate or a y-coordinate.

In the context of permutations, we're typically interested in r_n , the number of ways to place n rooks on a restricted $n \times n$ board. However, it turns out that a naive application of the techniques from rook theory do not immediately allow us to count the number of restricted permutations with a given prefix. Computing the number of such permutations is known to be computationally hard for a board with arbitrary restrictions. We can see this by encoding a board B as a (0,1)-matrix and

computing the matrix permanent. (In fact, Shevelev [4] claims that "the theory of enumerating the permutations with restricted positions stimulated the development of the theory of the permanent.")

Lemma 1.3.4. Let $M_B = \{a_{ij}\}$ be an $n \times n$ matrix where

$$a_{ij} = \begin{cases} 1 & (i,j) \in B \\ 0 & (i,j) \notin B \end{cases}$$

Then the coefficient of x^n in $p_B(x)$ is given by the matrix permanent

$$\operatorname{perm}(M_B) = \sum_{\sigma \in S_n} \prod_{i=1}^n a_{i\sigma(i)}.$$

Now is the perfect time to recall Valiant's Theorem.

Theorem 1.3.5 (Valiant's Theorem [5]). *Computing the permanent of a* (0,1)*-matrix is #P-complete.*

Corollary 1.3.6. Computing the number of rook placements on an arbitrary $n \times n$ board is #P-hard.

Therefore, in order to compute the number of permutations, we must exploit some additional structure of the restrictions.

1.3.4 Techniques of Rook Theory

Rook polynomials can be computed recursively. The base case is that for an empty board $B = \emptyset$, the corresponding rook polynomial is $p_{\emptyset}(x) = 1$, because there is one way to place no rooks, and no way to place one or more rooks.

Lemma 1.3.7 ([3]). Given a board, B, then for any square $(x,y) \in B$, we can define the resulting boards if we include or exclude the square respectively

$$B_i = \{(x', y') \in B : x \neq x' \text{ and } y \neq y'\}$$
 (1.2)

$$B_e = B \setminus (x, y). \tag{1.3}$$

Then we can write the rook polynomial for B in terms of this decomposition.

$$p_B(x) = x p_{B_i}(x) + p_{B_e}(x).$$

If we want to compute a rook polynomial using this construction, we can end up adding up lots of smaller rook polynomials—a number that is exponential in the size of B. However, when the number of squares in B^c is small in some sense, it can be easier to compute the rook polynomial p_{B^c} and use the principle of inclusion/exclusion on it's coefficients to determine the rook polynomial for the original board, B.

In the case of derangements and ménage permutations, this is the strategy we'll use. Start by finding the resulting board from a given prefix, find the rook polynomial of the complementary board, and use the principle of inclusion/exclusion to determine the number of ways to place rooks in the resulting board.

1.4 Deranking Derangements

In January 2020, Richard Arratia sent out an email proposing a seminar talk. The title describes the first "\$100 problem":

\$100 Problem. "For 100 dollars, what is the 500 quadrillion-th derangement on n = 20?"

\$100 Answer. The computer program in Appendix TODO computed the answer in less than ten milliseconds. When written as words in lexicographic order, the derangement in S_{20} with rank 5×10^{17} is

Arratia's question focused on deranking derangements where the rank was based on the total ordering that comes from writing the permutations as words in lexicographic order. Other authors have looked at deranking derangements based on other total orderings. In particular, Mikawa and Tanaka [6] give an algorithm to rank/unrank derangements with respect to *lexicographic ordering in cycle notation*.

In this section we will develop an algorithm for ranking and deranking with respect to their lexicographic ordering as words. The technique that we use will broadly be re-used in the next section. It is worthwhile to begin by recalling the definition of a derangement.

Definition 1.4.1. A derangement is a permutation $\pi \in S_n$ such that π has no fixed points. That is, the set of derangements is

$$\{\pi \in S_n : \pi(i) \neq i \ \forall i \in [n]\}.$$

1.4.1 The complementary board.

In order to compute the number of derangements with a given prefix, it is useful to look at the board that results after placing k rooks according to these positions, as illustrated in Figure 1.2.

Definition 1.4.2. If B is an $n \times n$ board, and $\alpha = (\alpha_1, \alpha_2, ..., \alpha_\ell)$ is a valid prefix of length ℓ , then derived complementary board of B from α , denoted B^c_{α} , is B with the appropriate rows and columns removed and reindexed in such a way that $B^c_{\alpha} \subseteq [n-\ell] \times [n-\ell]$.

Lemma 1.4.3. Given a valid ℓ letter prefix $(\alpha_1, \alpha_2, ..., \alpha_{\ell})$ of a word on n letters, the number of squares in the resulting complementary board is

$$|B_{\alpha}^{c}| = n - \ell - |\{\ell + 1, \ell + 2, \dots, n\} \cap \{\alpha_{1}, \alpha_{2}, \dots, \alpha_{\ell}\}|,$$

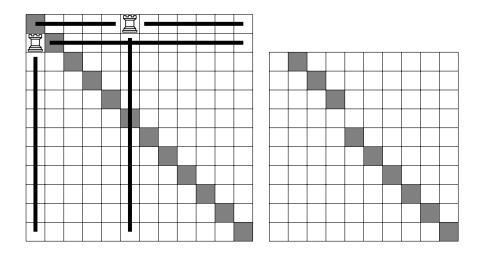


Figure 1.2: An example of a prefix $\alpha = (6,1)$, and the board that results from deleting the first $\ell = 2$ rows and columns 6 and 1. The derived complementary board of B from α is $B_{\alpha}^{c} = \{(1,2),(2,3),(3,4),(5,5),\ldots,(10,10)\}.$

and no two of these squares are in the same row or column.

1.4.2 Derangements with a given prefix

Now that we have a way of quickly computing $|B_{\alpha}^{c}|$, we can compute the number of ways to place j rooks on the complementary board. We can use this to compute the number of derangements that begin with the prefix α .

Lemma 1.4.4. The rook polynomial for the complementary board B_{α}^{c} is

$$p_{B_{\alpha}^{c}}(x) = \sum_{j=0}^{|B_{\alpha}^{c}|} {|B_{\alpha}^{c}| \choose j} x^{j}.$$

$$(1.4)$$

Proof. No two squares in B^c (and thus B^c_{α}) are in the same row or column. Thus the number of ways to place j rooks is equivalent to selecting j cells from $|B^c_{\alpha}|$.

Now we introduce a lemma of Stanley [7] to compute the number of TODO from a complementary board.

Lemma 1.4.5 ([7]). The number of ways, N_0 , of placing n nonattacking rooks on a board $B \subseteq [n] \times [n]$ is given by

$$N_0 = \sum_{k=0}^{n} (-1)^k r_k (n-k)!,$$

where $P_{B^c}(x) = \sum_{k=0}^n r_k x^k$.

Corollary 1.4.6. The number of derangements with prefix $\alpha = (\alpha_1, \alpha_2, ..., \alpha_\ell)$ is given by

$$\#\operatorname{prefix}(\alpha) = \sum_{j=0}^{|B_{\alpha}^{c}|} (-1)^{j} {|B_{\alpha}^{c}| \choose j} (n-\ell-j)!,$$

which is A047920 $(n-\ell, |B_{\alpha}^c|)$ in the On-Line Encyclopedia of Integer Sequences [8].

Example 1.4.7. For example, for N = 14, we wish to count the number of derangements that start with the prefix 61. Since the prefix has two letters, p = 2 and n = 14 - 2 = 12. The only crossed-out cell that is deleted by the prefix in the remaining board is the cell that was in position 6: in particular, $\{3,4,\ldots,14\} \cap \{6,1\} = 6$. Thus k = 12 - 1 = 11. Thus there are A047920(12,11) = 190899411 derangements that start with 61.

1.5 Deranking Ménage Permutations

A Ménage permutation comes from the *problème des ménages*. Here we will define it as

Definition 1.5.1. A ménage permutation is a permutation $\pi \in S_n$ such that for all $i \in [n]$, $\pi(i) \neq i$ and $\pi(i) + 1 \not\equiv i \mod n$.

We can use the prefix to get a new board, which is block diagonal (whenever the prefix is nonempty), if we know the number of cells in each block, we can compute the number of valid boards. This gives us the number of ménage permutations with a given prefix.

 $Prefix \Rightarrow grouped columns \Rightarrow partition/multiset \Rightarrow complementary polynomial \Rightarrow count$

α (prefix)	$\# prefix(\alpha)$	index range	$ B^c_{\alpha} $	$\operatorname{derank}_i(\alpha,\ell)$
1	0	(0,0]	_	$derank_{1000}(1,0)$
2	2119	(0,2119]	6	$derank_{1000}(2,0)$
21	265	(0,265]	6	$derank_{1000}(21,0)$
22	0	(265, 265]	_	$derank_{1000}(22,265)$
23	309	(265,574]	5	$derank_{1000}(23, 265)$
24	309	(574,883]	5	$derank_{1000}(24,574)$
25	309	(883, 1192]	5	$derank_{1000}(25,883)$
251	53	(883,936]	4	derank ₁₀₀₀ (251,883)
253	0	(936,936]	_	$derank_{1000}(253,936)$
254	64	(936, 1000]	3	$derank_{1000}(254,936)$
2541	11	(936,947]	3	derank ₁₀₀₀ (2541,936)
2543	11	(947,958]	3	$derank_{1000}(2543,947)$
2546	14	(958,972]	2	$derank_{1000}(2546, 958)$
2547	14	(972,986]	2	$derank_{1000}(2547,972)$
2548	14	(986, 1000]	2	derank ₁₀₀₀ (2548, 986)
25481	3	(986, 989]	2	derank ₁₀₀₀ (25481,986)
25483	3	(989,992]	2	$derank_{1000}(25483,989)$
25486	4	(992,996]	1	$derank_{1000}(25486,992)$
25487	4	(996, 1000]	1	derank ₁₀₀₀ (25487,996)
254871	2	(996,998]	0	derank ₁₀₀₀ (254871,996)
254873	2	(998, 1000]	0	derank ₁₀₀₀ (254873,998)
2548731	1	(998,999]	0	derank ₁₀₀₀ (2548731,998)
2548736	1	(999, 1000]	0	derank ₁₀₀₀ (2548736, 999)
25487361	1	(999, 1000]	0	derank ₁₀₀₀ (25487361,999)

Figure 1.3: There are A000166(8) = 14833 derangements on 8 letters. This algorithm finds the derangement at index 1000.

1.5.1 Block diagonal decomposition

When we look at Figure TODO, it appears that placing rooks according to a prefix results in a derived complementary board where the squares can be grouped into sub-boards that don't share any rows or columns. We will see that this property holds more generally, and we can exploit this in order to describe the number of ménage permutations with a given prefix.

It is useful to begin by formalizing this notion of grouping squares.

Definition 1.5.2. Two boards B and B' are called **disjoint** if no squares of B are in the same row or column as any square in B'.

The reason that we care about decomposing a board into disjoint parts is because that perspective allows us to factor the rook polynomial.

Lemma 1.5.3 ([2]). If B can be partitioned into disjoint boards $b_1, b_2, ..., b_m$, then the rook polynomial of B is the product of the rook polynomials of the b_i s

$$p_B(x) = \prod_{i=1}^m p_{b_i}(x).$$

The key insight is that after placing rooks in valid positions in the top $1 \le k \le n-1$ rows, we get block-diagonal boards, with three possible shapes, shown in Figure 1.4.

Lemma 1.5.4. For $\ell \geq 1$, and prefix $\alpha = (\alpha_1, \alpha_2, ..., \alpha_\ell)$ the derived complementary board B_{α}^c can be partitioned into boards of one of three shapes.

- 1. (TODO Figure 1.4, left)
- 2. (TODO Figure 1.4, middle)
- 3. (TODO Figure 1.4, right)

Proof. The proof proceeds by induction. Base case: because of the ménage restriction, $\pi(1) \in \{2,3,\ldots,n-1\}$, and so the resulting board is split into a part of size $2\pi(1)-3$ and $2n-2\pi(1)-1$ parts respectively. Inductive step: TODO

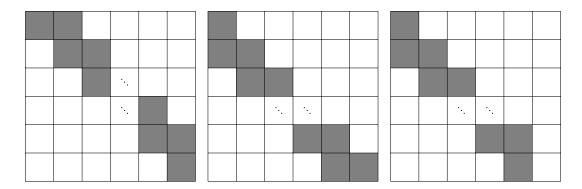


Figure 1.4: Three $n \times n$ blocks, two with 2n-1 crossed-out cells and one with 2n-2 crossed-out cells.

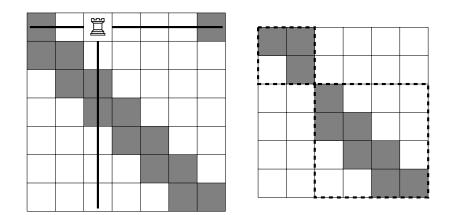


Figure 1.5: The first chessboard shows a placement of a rook at position 3, the second shows the remaining squares, and the third shows a permutation of the rows to put the board into a block-diagonal form.

1.5.2 Rook polynomials of blocks

Recall that the goal of partitioning B into disjoint boards b_1, b_2, \ldots, b_m is so that we can factor $p_B(x)$ in terms of $p_{b_i}(x)$. Of course, this is only helpful if we can describe $p_{b_i}(x)$, which is the goal of this section. Thankfully, the rook polynomial of each b_i will turn out to depend only on the number of squares, $|b_i|$, which can be computed easily because of its structure.

We will begin by defining a family of polynomials that, suggestively, will turn out to be the rook polynomials that we are looking for. This family is nearly described by OEIS sequence A011973 [8].

Definition 1.5.5. For $j \ge 0$, the jth **Fibonacci polynomial** $F_i(x)$ is defined recursively as:

$$F_0(x) = 1 (1.5)$$

$$F_1(x) = 1 + x (1.6)$$

$$F_n(x) = F_{n-1}(x) + xF_{n-2}(x). (1.7)$$

Lemma 1.5.6. Given a board B that consists of a single block with k crossed out cells, it's complementary board B^c has rook polynomial $p_{B^c}(x) = F_{k+1}(x)$.

Proof. We will recall Lemma 1.3.7, and proceed by induction on the upper-left square.

TODO (See Figure 1.4, boards A, B, C)

Base case: If we have a board of type C and size 0, it has a rook polynomial of 1. If we have a board of type A (or B) and size 1, it has a rook polynomial of 1 + x.

Suppose our inductive hypothesis holds for boards with up to s squares. Then

- 1. B_i for A_{2n-1} is equal to A_{2n-3} . B_e is C_{2n-2} .
- 2. B_i for B_{2n-1} is equal to B_{2n-3} . B_e is a flip of C_{2n-2} along antidiagonal.
- 3. B_i for C_{2n-2} is equal to C_{2n-4} . B_e is A_{2n-3} along antidiagonal.

1.5.3 Prefix to blocks

Here's the idea: we group the uncrossed columns.

Lemma 1.5.7. Given a prefix $\alpha = (\alpha_1, \alpha_2, ..., \alpha_\ell)$ and $i \notin \alpha$, the number of cells of B^c in column i that do not have a first coordinate in $[\ell]$ is given by the rule:

$$c_{i} = \begin{cases} 0 & i < \ell \\ 1 & i = k \text{ or } i = n \\ 2 & \ell < i < n \end{cases}$$

$$(1.8)$$

Proof. TODO: This almost follows from the description?

Now we can put these column counts together based on the continuous blocks.

Lemma 1.5.8. TODO: Partition $[n] \setminus \alpha$ into contiguous parts. This naturally partitions B_{α}^c into disjoint boards. The size of these boards is $\sum_{x \in part} c_x$. (this is what I've been calling our "composition")

1.5.4 Complementary polynomials to ménage permutations with a given prefix

Recap: We've taken a prefix, used it to find contiguous regions, used these to find disjoint subboards related to B_{α}^{c} , whose rook polynomials we know. Now it's time to take these to count our number of ménage permutations with the aforementioned prefix.

Lemma 1.5.9. Given a board B^c_{α} that is partitioned into disjoint boards b_1, b_2, \dots, b_m , the rook polynomial of B^c_{α} is

$$p_{B_{\alpha}^c}(x) = \prod_{i=1}^m F_{b_i}(x).$$

Proof. This follows directly from Lemma (TODO: rook polynomials of blocks) and Lemma (TODO: product of blocks is whole thing).

Now that we know $p_{B_{\alpha}^c}$, we can use Lemma (TODO: Complementary to original) to determine how many ménage permutations there are with a given prefix. Because of Lemma (TODO: all we need is the prefix to derank), we have an algorithm to derank.

1.5.5 Proof of concept (The \$100 answer!)

\$100 Problem. For n = 20 there are $A000179(20) = 312400218671253762 > 3.1 \cdot 10^{17}$ ménage permutations. Determine the 10^{17} -th such permutation when listed in lexicographic order.

\$100 Answer. The desired permutation is

Example 1.5.10. Illustrating this particular example is too big to be of much interest, so here's a smaller example. There are A000179(8) = 4738 ménage permutations on 8 letters. We'll use this algorithm to find the one at index 1000.

1.6 Generalizations and Open Questions

1.6.1 Other restricted permutations

Doron Zeilberger considers a more general family of restricted permutations.

Definition 1.6.1 ([9]). Let $S \subset \mathbb{Z}$, then a S-avoiding permutation is a permutation $\pi \in S_n$ such that

$$\pi(i) - i - s \not\equiv 0 \mod n \text{ for all } i \in [n] \text{ and } s \in S.$$

Example 1.6.2. Ordinary permutations are \emptyset -avoiding permutations, derangements are $\{0\}$ -avoiding permutations, and we've defined menagé permutations as $\{-1,0\}$ -avoiding permutations.

The results in this paper generalize pretty easily to $\{i, i+1\}$ -avoiding permutations for all i.

prefix	starting with prefix	index range	composition	$\operatorname{derank}_i(\alpha,\ell)$
1	0	(0,0]	_	$derank_{1000}(1,0)$
2	787	[0,787]	(1,11)	$derank_{1000}(2,0)$
3	791	(787, 1578]	(3,9)	$derank_{1000}(3,787)$
31	0	(787, 787]	_	derank ₁₀₀₀ (31,787)
32	0	(787,787]	_	$derank_{1000}(32,787)$
33	0	(787,787]	_	$derank_{1000}(33,787)$
34	159	(787,946]	(1,7)	$derank_{1000}(34,787)$
35	166	(946, 1112]	(1,2,5)	$derank_{1000}(35,946)$
351	24	(946,970]	(0,2,5)	derank ₁₀₀₀ (351,946)
	0	(970, 970]	_	
354	34	(970, 1004]	(0,5)	$derank_{1000}(354,970)$
3541	5	(970,975]	(0,5)	derank ₁₀₀₀ (3541,970)
3542	5	(975,980]	(0,5)	$derank_{1000}(3542,975)$
	0	(980, 980]	_	
3546	8	(980, 988]	(0,3)	$derank_{1000}(3546, 980)$
3547	10	(988,998]	(0,2,1)	$derank_{1000}(3547,988)$
3548	6	(998, 1004]	(0,4)	$derank_{1000}(3548,998)$
35481	1	(998,999]	(0,4)	derank ₁₀₀₀ (35481,998)
35482	1	(999, 1000]	(0,4)	$derank_{1000}(35482,999)$
354821	0	(999,999]	(3)	derank ₁₀₀₀ (354821,999)
	0	(999,999]	_	
354827	1	(999, 1000]	(0,1)	$derank_{1000}(354827,999)$
3548271	1	(999, 1000]	(0)	derank ₁₀₀₀ (3548271,999)
35482716	1	(999, 1000]	()	derank ₁₀₀₀ (35482716, 999)

1.6.2 Observation about Lyndon Words after? a given prefix

Definition 1.6.3. A Lyndon word is a string that is the unique minimum with respect to all of its rotations.

Example 1.6.4. 00101 *is a Lyndon word because* $00101 = min\{00101, 01010, 10100, 01001, 10010\}$ *is the unique minimum of all of its rotations.*

011011 is not a Lyndon word because while $011011 = min\{011011, 110110, 101101, 011011, 110110, 101101\}$ it is not the **unique** minimum.

Conjecture 1.6.5. Let \mathcal{E}^{-1} denote the inverse Euler transform. Then the number of length n+1 Lyndon words that start with a prefix α follows a "simple" linear recurrence for sufficiently large n.