CS 240 - Data Structures and Data Management

Module 1: Introduction and Asymptotic Analysis

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Based on lecture notes by many previous cs240 instructors

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References: Goodrich & Tamassia 1.1, 1.2, 1.3 Sedgewick 8.2, 8.3

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Outline

- Introduction and Asymptotic Analysis
 - CS240 Overview
 - Algorithm Design
 - Analysis of Algorithms I
 - Asymptotic Notation
 - Analysis of Algorithms II
 - Example: Analysis of MergeSort
 - Helpful Formulas

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Course Objectives: What is this course about?

- When first learning to program, we emphasize correctness: does your program output the expected results?
- Starting with this course, we will also be concerned with efficiency: is your program using the computer's resources (typically processor time) efficiently?
- We will study efficient methods of storing, accessing, and performing operations on large collections of data.
- Typical operations include: *inserting* new data items, *deleting* data items, *searching* for specific data items, *sorting*.
- Motivating examples: Digital Music Collection, English Dictionary

Course Objectives: What is this course about?

- We will consider various abstract data types (ADTs) and how to implement them efficiently using appropriate data structures.
- There is a strong emphasis on mathematical analysis in the course.
- Algorithms are presented using pseudocode and analyzed using order notation (big-Oh, etc.).

Course Topics

- big-Oh analysis
- priority queues and heaps
- sorting, selection
- binary search trees, AVL trees, B-trees
- skip lists
- hashing
- quadtrees, kd-trees
- range search
- tries
- string matching
- data compression

CS Background

Topics covered in previous courses with relevant sections in [Sedgewick]:

- arrays, linked lists (Sec. 3.2–3.4)
- strings (Sec. 3.6)
- stacks, queues (Sec. 4.2–4.6)
- abstract data types (Sec. 4-intro, 4.1, 4.8–4.9)
- recursive algorithms (5.1)
- binary trees (5.4–5.7)
- sorting (6.1–6.4)
- binary search (12.4)
- binary search trees (12.5)
- probability and expectations (Goodrich & Tamassia, Section 1.3.4)

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Problems (terminology)

First, we must introduce terminology so that we can precisely characterize what we mean by efficiency.

Problem: Given a problem instance, carry out a particular computational task.

Problem Instance: *Input* for the specified problem.

Problem Solution: *Output* (correct answer) for the specified problem instance.

Size of a problem instance: Size(I) is a positive integer which is a measure of the size of the instance I.

Example: Sorting problem

Algorithms and Programs

Algorithm: An algorithm is a *step-by-step process* (e.g., described in pseudocode) for carrying out a series of computations, given an arbitrary problem instance *I*.

Algorithm solving a problem: An Algorithm A solves a problem Π if, for every instance I of Π , A finds (computes) a valid solution for the instance I in finite time.

Program: A program is an *implementation* of an algorithm using a specified computer language.

In this course, our emphasis is on algorithms (as opposed to programs or programming).

Algorithms and Programs

Pseudocode: a method of communicating an algorithm to another person.

In contrast, a program is a method of communicating an algorithm to a computer.

Pseudocode

- omits obvious details, e.g. variable declarations,
- has limited if any error detection,
- sometimes uses English descriptions,
- sometimes uses mathematical notation.

Algorithms and Programs

For a problem Π , we can have several algorithms.

For an algorithm ${\mathcal A}$ solving Π , we can have several programs (implementations).

Algorithms in practice: Given a problem Π

- ① Design an algorithm ${\mathcal A}$ that solves $\Pi. o {f Algorithm\ Design}$
- ② Assess correctness and efficiency of $\mathcal{A}. \to \mathsf{Algorithm}$ Analysis
- 3 If acceptable (correct and efficient), implement A.

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Efficiency of Algorithms/Programs

- How do we decide which algorithm or program is the most efficient solution to a given problem?
- In this course, we are primarily concerned with the amount of time a program takes to run. \rightarrow Running Time
- We also may be interested in the amount of memory the program requires.
 → Space
- The amount of time and/or memory required by a program will depend on Size(I), the size of the given problem instance I.

Running Time of Algorithms/Programs

First Option: experimental studies

- Write a program implementing the algorithm.
- Run the program with inputs of varying size and composition.
- Use a method like clock() (from time.h) to get an accurate measure of the actual running time.
- Plot/compare the results.

Running Time of Algorithms/Programs

Shortcomings of experimental studies

- Implementation may be complicated/costly.
- Timings are affected by many factors: hardware (processor, memory), software environment (OS, compiler, programming language), and human factors (programmer).
- We cannot test all inputs; what are good sample inputs?
- We cannot easily compare two algorithms/programs.

We want a framework that:

- Does not require implementing the algorithm.
- Is independent of the hardware/software environment.
- Takes into account all input instances.

We need some simplifications.

Overview of Algorithm Analysis

We will develop several aspects of algorithm analysis in the next slides.

- Algorithms are presented in structured high-level *pseudocode* which is language-independent.
- Analysis of algorithms is based on an idealized computer model.
- The efficiency of an algorithm (with respect to time) is measured in terms of its *growth rate* (this is called the *complexity* of the algorithm).

Running Time Simplifications

Overcome dependency on hardware/software

- Express algorithms using *pseudo-code*
- Instead of time, count the number of primitive operations
- Implicit assumption: primitive operations have fairly similar, though different, running time on different systems

Random Access Machine (RAM) Model:

- The random access machine has a set of memory cells, each of which stores one item (word) of data.
- Any access to a memory location takes constant time.
- Any primitive operation takes constant time.
- The running time of a program can be computed to be the number of memory accesses plus the number of primitive operations.

This is an idealized model, so these assumptions may not be valid for a "real" computer.

Running Time Simplifications

Simplify Comparisons

• Example: Compare 100n with $10n^2$

• Idea: Use order notation

Informally: ignore constants and lower order terms

We will simplify our analysis by considering the behaviour of algorithms for large inputs sizes.

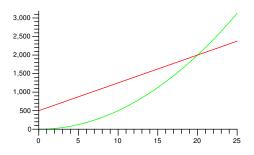
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Order Notation

O-notation: $f(n) \in O(g(n))$ if there exist constants c > 0 and $n_0 > 0$ such that $|f(n)| \le c |g(n)|$ for all $n \ge n_0$.

Example: f(n) = 75n + 500 and $g(n) = 5n^2$ (e.g. $c = 1, n_0 = 20$)



Note: The absolute value signs in the definition are irrelevant for analysis of run-time or space, but are useful in other applications of asymptotic notation.

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Example of Order Notation

In order to prove that $2n^2 + 3n + 11 \in O(n^2)$ from first principles, we need to find c and n_0 such that the following condition is satisfied:

$$0 \le 2n^2 + 3n + 11 \le c n^2$$
 for all $n \ge n_0$.

note that not all choices of c and n_0 will work.

Aymptotic Lower Bound

- We have $2n^2 + 3n + 11 \in O(n^2)$.
- But we also have $2n^2 + 3n + 11 \in O(n^{10})$.
- We want a **tight** asymptotic bound.

 Ω -notation: $f(n) \in \Omega(g(n))$ if there exist constants c > 0 and $n_0 > 0$ such that $c |g(n)| \le |f(n)|$ for all $n \ge n_0$.

 Θ -notation: $f(n) \in \Theta(g(n))$ if there exist constants $c_1, c_2 > 0$ and $n_0 > 0$ such that $c_1 |g(n)| \le |f(n)| \le c_2 |g(n)|$ for all $n \ge n_0$.

$$f(n) \in \Theta(g(n)) \Leftrightarrow f(n) \in O(g(n)) \text{ and } f(n) \in \Omega(g(n))$$

Example of Order Notation

Prove that $\frac{1}{2}n^2 - 5n \in \Omega(n^2)$ from first principles.

Strictly smaller/larger asymptotic bounds

- We have $f(n) = 2n^2 + 3n + 11 \in \Theta(n^2)$.
- How to express that f(n) is asymptotically strictly smaller than n^3 ?

o-notation: $f(n) \in o(g(n))$ if for all constants c > 0, there exists a constant $n_0 > 0$ such that |f(n)| < c |g(n)| for all $n \ge n_0$.

ω-notation: $f(n) \in ω(g(n))$ if for all constants c > 0, there exists a constant $n_0 > 0$ such that $0 \le c |g(n)| < |f(n)|$ for all $n \ge n_0$.

Rarely proved from first principles.

Relationships between Order Notations

- $f(n) \in \Theta(g(n)) \Leftrightarrow g(n) \in \Theta(f(n))$
- $f(n) \in O(g(n)) \Leftrightarrow g(n) \in \Omega(f(n))$
- $f(n) \in o(g(n)) \Leftrightarrow g(n) \in \omega(f(n))$
- $f(n) \in o(g(n)) \Rightarrow f(n) \in O(g(n))$
- $f(n) \in o(g(n)) \Rightarrow f(n) \notin \Omega(g(n))$
- $f(n) \in \omega(g(n)) \Rightarrow f(n) \in \Omega(g(n))$
- $f(n) \in \omega(g(n)) \Rightarrow f(n) \notin O(g(n))$

Algebra of Order Notations

"Identity" rule: $f(n) \in \Theta(f(n))$

"Maximum" rules: Suppose that f(n) > 0 and g(n) > 0 for all $n \ge n_0$. Then:

- $O(f(n) + g(n)) = O(\max\{f(n), g(n)\})$
- $\Omega(f(n) + g(n)) = \Omega(\max\{f(n), g(n)\})$

Transitivity:

- If $f(n) \in O(g(n))$ and $g(n) \in O(h(n))$ then $f(n) \in O(h(n))$.
- If $f(n) \in \Omega(g(n))$ and $g(n) \in \Omega(h(n))$ then $f(n) \in \Omega(h(n))$.

Techniques for Order Notation

Suppose that f(n) > 0 and g(n) > 0 for all $n \ge n_0$. Suppose that

$$L=\lim_{n\to\infty}\frac{f(n)}{g(n)}.$$

Then

$$f(n) \in \begin{cases} o(g(n)) & \text{if } L = 0 \\ \Theta(g(n)) & \text{if } 0 < L < \infty \\ \omega(g(n)) & \text{if } L = \infty. \end{cases}$$

The required limit can often be computed using *l'Hôpital's rule*. Note that this result gives *sufficient* (but not necessary) conditions for the stated conclusions to hold.

Example 1

Let f(n) be a polynomial of degree $d \ge 0$:

$$f(n) = c_d n^d + c_{d-1} n^{d-1} + \cdots + c_1 n + c_0$$

for some $c_d > 0$.

Then $f(n) \in \Theta(n^d)$:

Example 2

Prove that $n(2 + \sin n\pi/2)$ is $\Theta(n)$. Note that $\lim_{n\to\infty} (2 + \sin n\pi/2)$ does not exist.

Growth Rates

- If $f(n) \in \Theta(g(n))$, then the growth rates of f(n) and g(n) are the same.
- If $f(n) \in o(g(n))$, then we say that the growth rate of f(n) is less than the growth rate of g(n).
- If $f(n) \in \omega(g(n))$, then we say that the growth rate of f(n) is greater than the growth rate of g(n).
- Typically, f(n) may be "complicated" and g(n) is chosen to be a very simple function.

Example 3

Compare the growth rates of $\log n$ and n.

Now compare the growth rates of $(\log n)^c$ and n^d (where c>0 and d>0 are arbitrary numbers).

Common Growth Rates

Commonly encountered growth rates in analysis of algorithms include the following (in increasing order of growth rate):

- $\Theta(1)$ (constant complexity),
- $\Theta(\log n)$ (logarithmic complexity),
- $\Theta(n)$ (linear complexity),
- $\Theta(n \log n)(linearithmic),$
- $\Theta(n \log^k n)$, for some constant k (quasi-linear),
- $\Theta(n^2)$ (quadratic complexity),
- $\Theta(n^3)$ (cubic complexity),
- \bullet $\Theta(2^n)$ (exponential complexity).

How Growth Rates Affect Running Time

It is interesting to see how the running time is affected when the size of the problem instance **doubles** (i.e., $n \rightarrow 2n$).

• constant complexity:
$$T(n) = c$$

• logarithmic complexity:
$$T(n) = c \log n$$

• linear complexity:
$$T(n) = cn$$

• linearithmic
$$\Theta(n \log n)$$
: $T(n) = cn \log n$

• quadratic complexity:
$$T(n) = cn^2$$

• cubic complexity:
$$T(n) = cn^3$$

• exponential complexity:
$$T(n) = c2^n$$

$$\rightarrow$$
 $T(2n) = c$.

$$\rightarrow$$
 $T(2n) = T(n) + c$.

$$\rightarrow$$
 $T(2n) = 2T(n)$.

$$\rightarrow$$
 $T(2n) = 2T(n) + 2cn$.

$$\rightarrow$$
 $T(2n) = 4T(n)$.

$$\rightarrow$$
 $T(2n) = 8T(n)$.

$$\rightarrow$$
 $T(2n) = (T(n))^2/c$.

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Techniques for Algorithm Analysis

- Goal: Use asymptotic notation to simplify run-time analysis.
- Running time of an algorithm depends on the *input size n*.

```
Test1(n)

1. sum \leftarrow 0

2. for i \leftarrow 1 to n do

3. for j \leftarrow i to n do

4. sum \leftarrow sum + (i - j)^2

5. return sum
```

- Identify elementary operations that require $\Theta(1)$ time.
- The complexity of a loop is expressed as the *sum* of the complexities of each iteration of the loop.
- Nested loops: start with the innermost loop and proceed outwards.
 This gives nested summations.

Techniques for Algorithm Analysis

Two general strategies are as follows.

- Use Θ -bounds throughout the analysis and obtain a Θ -bound for the complexity of the algorithm.
- Prove a O-bound and a matching Ω -bound separately. Use upper bounds (for O-bounds) and lower bounds (for Ω -bound) early and frequently.

This may be easier because upper/lower bounds are easier to sum.

```
Test2(A, n)
1. max \leftarrow 0
2. for i \leftarrow 1 to n do
3. for j \leftarrow i to n do
4. sum \leftarrow 0
5. for k \leftarrow i to j do
6. sum \leftarrow A[k]
7. return max
```

Complexity of Algorithms

 Algorithm can have different running times on two instances of the same size.

```
Test3(A, n)
A: array of size n

1. for i \leftarrow 1 to n-1 do
2. j \leftarrow i
3. while j > 0 and A[j] > A[j-1] do
4. swap A[j] and A[j-1]
5. j \leftarrow j-1
```

Let $T_A(I)$ denote the running time of an algorithm A on instance I.

Worst-case complexity of an algorithm: take the worst /

Average-case complexity of an algorithm: average over I

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Complexity of Algorithms

Worst-case complexity of an algorithm: The worst-case running time of an algorithm A is a function $f: \mathbb{Z}^+ \to \mathbb{R}$ mapping n (the input size) to the *longest* running time for any input instance of size n:

$$T_A(n) = \max\{T_A(I) : Size(I) = n\}.$$

Average-case complexity of an algorithm: The average-case running time of an algorithm A is a function $f: \mathbb{Z}^+ \to \mathbb{R}$ mapping n (the input size) to the *average* running time of A over all instances of size n:

$$T_A^{avg}(n) = \frac{1}{|\{I : Size(I) = n\}|} \sum_{\{I : Size(I) = n\}} T_A(I).$$

O-notation and Complexity of Algorithms

- It is important not to try and make comparisons between algorithms using O-notation.
- For example, suppose algorithm A_1 and A_2 both solve the same problem, A_1 has worst-case run-time $O(n^3)$ and A_2 has worst-case run-time $O(n^2)$.
- Observe that we *cannot* conclude that A_2 is more efficient than A_1 for all input!
 - 1 The worst-case run-time may only be achieved on some instances.
 - O-notation is an upper bound. A_I may well have worst-case run-time O(n). If we want to be able to compare algorithms, we should always use Θ -notation.

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Design of MergeSort

Input: Array *A* of *n* integers

- Step 1: We split A into two subarrays: A_L consists of the first $\lceil \frac{n}{2} \rceil$ elements in A and A_R consists of the last $\lceil \frac{n}{2} \rceil$ elements in A.
- Step 2: Recursively run MergeSort on A_L and A_R.
- Step 3: After A_L and A_R have been sorted, use a function Merge to merge them into a single sorted array.

MergeSort

To avoid copying sub-arrays, the recursion uses parameters that indicate the range of the array that needs to be sorted.

```
\begin{array}{ll} \textit{MergeSort}(A,\ell \leftarrow 0,r \leftarrow n-1) \\ \textit{A: array of size } n, \ 0 \leq \ell \leq r \leq n-1 \\ 1. \quad \text{if } (r \leq \ell) \text{ then} \\ 2. \quad \text{return} \\ 3. \quad \text{else} \\ 4. \quad m = (r+\ell)/2 \\ 5. \quad \textit{MergeSort}(A,\ell,m) \\ 6. \quad \textit{MergeSort}(A,m+1,r) \\ 7. \quad \textit{Merge}(A,\ell,m,r) \end{array}
```

Merge

```
\begin{aligned} &\textit{Merge}(A,\ell,m,r) \\ &A[0..n-1] \text{ is an array, } A[\ell..m] \text{ is sorted, } A[m+1..r] \text{ is sorted} \\ &1. & \text{initialize auxiliary array } S[0..n-1] \\ &2. & \text{copy } A[\ell..r] \text{ into } S[\ell..r] \\ &3. & \text{int } i_L \leftarrow \ell; \text{ int } i_R \leftarrow m+1; \\ &4. & \textbf{for } (k \leftarrow \ell; k \leq r; k++) \textbf{ do} \\ &5. & \textbf{if } (i_L > m) \ A[k] \leftarrow S[i_R++] \\ &6. & \textbf{elsif } (i_R > r) \ A[k] \leftarrow S[i_L++] \\ &7. & \textbf{elsif } (S[i_L] \leq S[i_R]) \ A[k] \leftarrow S[i_L++] \\ &8. & \textbf{else } A[k] \leftarrow S[i_R++] \end{aligned}
```

Sedgewick's code is slightly more complicated to avoid having to check whether i_R and i_L are out-of-boundary.

Merge takes time $\Theta(r-l+1)$, i.e., $\Theta(n)$ time for merging n elements.

Analysis of MergeSort

Let T(n) denote the time to run *MergeSort* on an array of length n.

- Step 1 takes time $\Theta(n)$
- Step 2 takes time $T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor)$
- Step 3 takes time $\Theta(n)$

The recurrence relation for T(n) is as follows:

$$T(n) = \begin{cases} T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor) + \Theta(n) & \text{if } n > 1 \\ \Theta(1) & \text{if } n = 1. \end{cases}$$

It suffices to consider the following *exact recurrence*, with constant factor c replacing Θ 's:

$$T(n) = \begin{cases} T(\lceil \frac{n}{2} \rceil) + T(\lfloor \frac{n}{2} \rfloor) + cn & \text{if } n > 1 \\ c & \text{if } n = 1. \end{cases}$$

Analysis of MergeSort

 The following is the corresponding sloppy recurrence (it has floors and ceilings removed):

$$T(n) = \begin{cases} 2 T(\frac{n}{2}) + cn & \text{if } n > 1 \\ c & \text{if } n = 1. \end{cases}$$

- The exact and sloppy recurrences are *identical* when n is a power of 2.
- The recurrence can easily be solved by various methods when $n=2^j$. The solution has growth rate $T(n) \in \Theta(n \log n)$.
- It is possible to show that $T(n) \in \Theta(n \log n)$ for all n by analyzing the exact recurrence.

Some Recurrence Relations

Recursion	resolves to	example
$T(n) = T(n/2) + \Theta(1)$	$T(n) \in \Theta(\log n)$	Binary search
$T(n) = 2T(n/2) + \Theta(n)$	$T(n) \in \Theta(n \log n)$	Mergesort
$T(n) = 2T(n/2) + \Theta(\log n)$	$T(n) \in \Theta(n)$	Heapify $(o$ later)
$T(n) = T(cn) + \Theta(n)$	$T(n) \in \Theta(n)$	Selection
for some $0 < c < 1$		(o later $)$
$T(n) = 2T(n/4) + \Theta(1)$	$T(n) \in \Theta(\sqrt{n})$	Range Search
		(o later)
$T(n) = T(\sqrt{n}) + \Theta(1)$	$T(n) \in \Theta(\log \log n)$	Interpolation Search
		(o later)

- Once you know the result, it is (usually) easy to prove by induction.
- Many more recursions, and some methods to find the result, in cs341.

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Order Notation Summary

O-notation: $f(n) \in O(g(n))$ if there exist constants c > 0 and $n_0 > 0$ such that $|f(n)| \le c |g(n)|$ for all $n \ge n_0$.

 Ω -notation: $f(n) \in \Omega(g(n))$ if there exist constants c > 0 and $n_0 > 0$ such that $c |g(n)| \le |f(n)|$ for all $n \ge n_0$.

 Θ -notation: $f(n) \in \Theta(g(n))$ if there exist constants $c_1, c_2 > 0$ and $n_0 > 0$ such that $c_1 |g(n)| \le |f(n)| \le c_2 |g(n)|$ for all $n \ge n_0$.

o-notation: $f(n) \in o(g(n))$ if for all constants c > 0, there exists a constant $n_0 > 0$ such that |f(n)| < c |g(n)| for all $n \ge n_0$.

ω-notation: $f(n) \in ω(g(n))$ if for all constants c > 0, there exists a constant $n_0 > 0$ such that c |g(n)| < |f(n)| for all $n \ge n_0$.

Useful Sums

Arithmetic sequence:

$$\sum_{i=0}^{n-1} i = ???$$

$$\sum_{i=0}^{n-1} (a+di) = na + \frac{dn(n-1)}{2} \in \Theta(n^2)$$
 if $d \neq 0$.

Geometric sequence:

 $\sum_{i=0}^{n-1} r^i = ???$

$$\sum_{i=0}^{n-1} a \, r^i = \begin{cases} a \frac{r^n - 1}{r - 1} & \in \Theta(r^n) & \text{if } r > 1 \\ na & \in \Theta(n) & \text{if } r = 1 \\ a \frac{1 - r^n}{1 - r} & \in \Theta(1) & \text{if } 0 < r < 1. \end{cases}$$
ce:
$$H_n := \sum_{i=1}^n \frac{1}{i} = \ln n + \gamma + o(1) \in \Theta(\log n)$$

A few more:

 $\sum_{i=1}^{n} \frac{1}{i} = ???$

$$\sum_{i=1}^{n} \frac{1}{i^2} = ??? \qquad \qquad \sum_{i=1}^{n} \frac{1}{i^2} = \frac{\pi^2}{6} \in \Theta(1)$$

$$\sum_{i=1}^{n} i^{k} = ???$$
 $\sum_{i=1}^{n} i^{k} \in \Theta(n^{k+1})$ for $k \ge 0$

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Useful Math Facts

Logarithms:

- $c = \log_b(a)$ means $b^c = a$. E.g. $n = 2^{\log n}$.
- log(a) usually means $log_2(a)$ in this course

- $a \log_b c = c^{\log_b a}$
- $ln(x) = natural log = log_e(x), \frac{d}{dx} ln x = \frac{1}{x}$

Factorial:

- $n! := n(n-1)(n-2)\cdots 2\cdot 1 = \#$ ways to permute n elements

Probability and moments:

•
$$E[aX] = aE[X]$$
, $E[X + Y] = E[X] + E[Y]$ (linearity of expectation)

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