# Integer Fuctions ITT9131 Konkreetne Matemaatika

#### Chapter Three

Floors and Ceilings

Floor/Ceiling Applications

Floor/Ceiling Recurrences

'mod': The Binary Operation Floor/Ceiling Sums



### Contents

- 1 Floors and Ceilings
- 2 Floor/Ceiling Applications
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### Next section

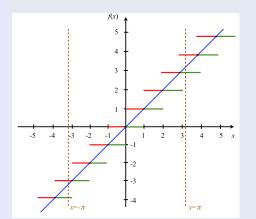
- 1 Floors and Ceilings
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### Floors and Ceilings

#### Definition

- The floor  $\lfloor x \rfloor$  is the greatest integer less than or equal to x;
- The ceiling  $\lceil x \rceil$  is the least integer greater than or equal to x .



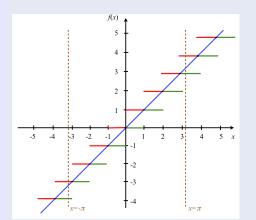
$$\lfloor \pi \rfloor = 3$$
  $\lfloor -\pi \rfloor = -4$   
 $\lceil \pi \rceil = 4$   $\lceil -\pi \rceil = -3$ 



### Floors and Ceilings

#### Definition

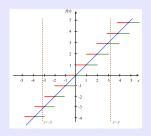
- The floor |x| is the greatest integer less than or equal to x;
- The ceiling [x] is the least integer greater than or equal to x.



$$\lfloor \pi \rfloor = 3$$
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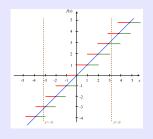


# Properties of $\lfloor x \rfloor$ and $\lceil x \rceil$





# Properties of [x] and [x]



- ①  $\lfloor x \rfloor = x = \lceil x \rceil$  iff  $x \in \mathbb{Z}$
- $2 x-1 < \lfloor x \rfloor \leqslant x \leqslant \lceil x \rceil < x+1$
- (-x) = -[x] and [-x] = -[x]



### Warmup: the generalized Dirichlet box principle

#### Statement of the principle

Let m and n be positive integers. If n items are stored into m boxes, then:

- At least one box will contain at least  $\lceil n/m \rceil$  objects.
- At least one box will contain at most  $\lfloor n/m \rfloor$  objects.



### Warmup: the generalized Dirichlet box principle

#### Statement of the principle

Let m and n be positive integers. If n items are stored into m boxes, then:

- At least one box will contain at least  $\lceil n/m \rceil$  objects.
- At least one box will contain at most  $\lfloor n/m \rfloor$  objects.

#### Proof

By contradiction, assume each of the m boxes contains fewer than  $\lceil n/m \rceil$  objects.

Then

$$n \le m \cdot \left( \left\lceil \frac{n}{m} \right\rceil - 1 \right)$$
 or equivalently,  $\frac{n}{m} + 1 \le \left\lceil \frac{n}{m} \right\rceil$ :

which is impossible.

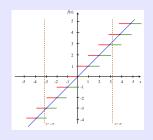
Similarly, if each of the m boxes contained more than  $\lfloor n/m \rfloor$  objects, we would have

$$n \ge m \cdot \left( \left\lfloor \frac{n}{m} \right\rfloor + 1 \right)$$
 or equivalently,  $\frac{n}{m} - 1 \ge \left\lfloor \frac{n}{m} \right\rfloor$ :

which is also impossible



# Properties of $\lfloor x \rfloor$ and $\lceil x \rceil$ (cont.)



① 
$$|x| = x = \lceil x \rceil$$
 iff  $x \in \mathbb{Z}$ 

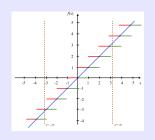
$$2 x-1 < \lfloor x \rfloor \leqslant x \leqslant \lceil x \rceil < x+1$$

$$3 \mid -x \mid = - \lceil x \rceil$$
 and  $\lceil -x \rceil = - \mid x \mid$ 

In the following properties  $x \in \mathbb{R}$  and  $n \in \mathbb{Z}$ :



# Properties of $\lfloor x \rfloor$ and $\lceil x \rceil$ (cont.)



① 
$$|x| = x = \lceil x \rceil$$
 iff  $x \in \mathbb{Z}$ 

$$2 \quad x-1 < |x| \le x \le \lceil x \rceil < x+1$$

$$3 \lfloor -x \rfloor = -\lceil x \rceil$$
 and  $\lceil -x \rceil = -\lfloor x \rfloor$ 

In the following properties  $x \in \mathbb{R}$  and  $n \in \mathbb{Z}$ :

$$|x| = n$$
 but  $|nx| \neq n|x|$ 

More properties:

10 
$$x < n$$
 iff  $\lfloor x \rfloor < n$ 

12 
$$x \le n$$
 iff  $[x] \le n$ 

$$\begin{array}{ccc}
13 & n \leqslant x & \text{iff} & n \leqslant \lfloor x \rfloor
\end{array}$$



### Generalization of the property #9

#### Theorem

$$[x+y] = \begin{cases} [x] + [y], & \text{if } 0 \le \{x\} + \{y\} < 1 \\ [x] + [y] + 1, & \text{if } 1 \le \{x\} + \{y\} < 2 \end{cases}$$

where  $\{x\} = x - \lfloor x \rfloor$  is the fractional part of x.

*Proof.* Let 
$$x = \lfloor x \rfloor + \{x\}$$
 and  $y = \lfloor y \rfloor + \{y\}$  
$$\lfloor x + y \rfloor = \lfloor \lfloor x \rfloor + \lfloor y \rfloor + \{x\} + \{y\} \rfloor$$
 
$$= \lfloor x \rfloor + \lfloor y \rfloor + \lfloor \{x\} + \{y\} \rfloor$$

and

$$\lfloor \{x\} + \{y\} \rfloor = \begin{cases} 0, & \text{if } 0 \leqslant \{x\} + \{y\} < 1\\ 1, & \text{if } 1 \leqslant \{x\} + \{y\} < 2 \end{cases}$$

Q.E.D.



# Warmup: When is $\lfloor nx \rfloor = n \lfloor x \rfloor$ ?

#### The problem

Give a necessary and sufficient condition on n and x so that

$$\lfloor nx \rfloor = n \lfloor x \rfloor$$

where n is a positive integer.



# Warmup: When is $\lfloor nx \rfloor = n \lfloor x \rfloor$ ?

#### The problem

Give a necessary and sufficient condition on n and x so that

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where n is a positive integer

#### The solution

Write  $x = |x| + \{x\}$  Then

$$\lfloor nx \rfloor = \lfloor n \lfloor x \rfloor + n\{x\} \rfloor = n \lfloor x \rfloor + \lfloor n\{x\} \rfloor$$

As  $\{x\}$  is nonnegative, so is  $\lfloor n\{x\} \rfloor$ . Then

$$\lfloor nx \rfloor = n \lfloor x \rfloor$$
 if and only if  $\{x\} < 1/n$ 



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#### Theorem

The binary representation of a natural number n > 0 has  $m = \lfloor \log_2 n \rfloor + 1$  bits.

Proof.

$$n = \underbrace{a_{m-1}2^{m-1} + a_{m-2}2^{m-2} + \dots + a_12 + a_0}_{m \text{ bits}} \text{ , where } a_{m-1} = 1$$

Thus,  $2^{m-1} \leqslant n < 2^m$ , that gives  $m-1 \leqslant \log_2 n < m$ . The last formula is valid if and only if  $\lfloor \log_2 n \rfloor = m-1$ . Q.E.D.

Example:  $n = 35 = 100011_2$ 

$$m = \lfloor \log_2 35 \rfloor + 1 = \lfloor \log_2 32 \rfloor + 1 = 5 + 1 = 6$$



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#### Example: $n = 35 = 100011_2$

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#### Theorem

Let  $f:A\subseteq\mathbb{R}\to\mathbb{R}$  be a continuous, strictly increasing function with the property that  $f(x)\in\mathbb{Z}$  implies that  $x\in\mathbb{Z}$ . Then

$$\lfloor f(x) \rfloor = \lfloor f(\lfloor x \rfloor) \rfloor$$
 and  $\lceil f(x) \rceil = \lceil f(\lceil x \rceil) \rceil$ 

whenever f(x),  $f(\lfloor x \rfloor)$ , and  $f(\lceil x \rceil)$  are all defined.

#### Proof. (for the ceiling function)

- The case  $x = \lceil x \rceil$  is trivial.
- Otherwise  $x < \lceil x \rceil$ , and  $f(x) < f(\lceil x \rceil)$  since f is increasing. Hence,  $\lceil f(x) \rceil \le \lceil f(\lceil x \rceil) \rceil$  since  $\lceil : \rceil$  is non-decreasing.
- If  $\lceil f(x) \rceil < \lceil f(\lceil x \rceil) \rceil$ , as f is continuous, by the intermediate value theorem there exists a number y such that  $y \in [x, \lceil x \rceil)$  and  $f(y) = \lceil f(x) \rceil$ : such y is an integer, because of f's special property, so actually  $x < y < \lceil x \rceil$ .
- But there cannot be an integer strictly between x and  $\lceil x \rceil$ . This contradiction implies that we must have  $\lceil f(x) \rceil = \lceil f(\lceil x \rceil) \rceil$ .





$$\blacksquare \left[\sqrt{\lfloor x \rfloor}\right] = \lfloor \sqrt{x} \rfloor$$





$$\blacksquare \ \left\lfloor \sqrt{\lfloor x \rfloor} \right\rfloor = \left\lfloor \sqrt{x} \right\rfloor$$



# Example

- [[[x/10]/10]/10] = [x/1000]

#### In contrast:





# Floor/Ceiling Applications (3): Intervals

For Real numbers $lpha  eq eta$										
	Interval	Integers contained	Restrictions							
	$[\alpha\beta]$	$\lfloor \beta \rfloor - \lceil \alpha \rceil + 1$	$\alpha\leqslant eta$							
	$(\alpha\beta)$	$\lceil \beta \rceil - \lceil \alpha \rceil$	$\alpha \leqslant eta$							
	$(\alpha\beta]$	$\lfloor \beta \rfloor - \lfloor \alpha \rfloor$	$\alpha \leqslant \beta$							
	$(\alpha\beta)$	$\lceil \beta \rceil - \lfloor \alpha \rfloor - 1$	$\alpha < \beta$							



# Floor/Ceiling Applications (3): Spectra

#### Definition

The spectrum of a real number  $\alpha$  is an infinite multiset of integers

$$\operatorname{Spec}(\alpha) = \{ \lfloor \alpha \rfloor, \lfloor 2\alpha \rfloor, \lfloor 3\alpha \rfloor, \ldots \} = \{ \lfloor n\alpha \rfloor \mid n \geq 1 \}$$

#### Theorem

If  $\alpha \neq \beta$  then  $\operatorname{Spec}(\alpha) \neq \operatorname{Spec}(\beta)$ .

**Proof.** For, assuming without loss of generality that  $\alpha < \beta$ , there's a positive integer m such that  $m(\beta - \alpha) \geqslant 1$ . Hence  $m\beta - m\alpha \geqslant 1$ , and  $\lfloor m\beta \rfloor > \lfloor m\alpha \rfloor$ . Thus  $\operatorname{Spec}(\beta)$  has fewer than m elements which are  $\leqslant \lfloor m\alpha \rfloor$ , while  $\operatorname{Spec}(\alpha)$  has at least m such elements. Q.E.D.

$$Spec(\sqrt{2}) = \{1,2,4,5,7,8,9,11,12,14,15,16,18,19,21,22,24,\ldots\}$$
 
$$Spec(2+\sqrt{2}) = \{3,6,10,13,17,20,23,27,30,34,37,40,44,47,51,\ldots\}$$



### Floor/Ceiling Applications (3a): Spectra

#### The number of elements in Spec( $\alpha$ ) that are $\leq n$ :

$$\begin{split} N(\alpha, n) &= \sum_{k>0} \left[ \lfloor k\alpha \rfloor \leqslant n \right] \\ &= \sum_{k>0} \left[ \lfloor k\alpha \rfloor < n+1 \right] \\ &= \sum_{k>0} \left[ k\alpha < n+1 \right] \\ &= \sum_{k} \left[ 0 < k < (n+1)/\alpha \right] \\ &= \lceil (n+1)/\alpha \rceil - 1 \end{split}$$



### Floor/Ceiling Applications (3b): Spectra

Let's compute (for any n > 0):

$$N(\sqrt{2}, n) + N(2 + \sqrt{2}, n) = \left\lceil \frac{n+1}{\sqrt{2}} \right\rceil - 1 + \left\lceil \frac{n+1}{2+\sqrt{2}} \right\rceil - 1$$

$$= \left\lfloor \frac{n+1}{\sqrt{2}} \right\rfloor + \left\lfloor \frac{n+1}{2+\sqrt{2}} \right\rfloor$$

$$= \frac{n+1}{\sqrt{2}} - \left\{ \frac{n+1}{\sqrt{2}} \right\} + \frac{n+1}{2+\sqrt{2}} - \left\{ \frac{n+1}{2+\sqrt{2}} \right\}$$

$$= (n+1) \left( \frac{1}{\sqrt{2}} + \frac{1}{2+\sqrt{2}} \right) - \left( \left\{ \frac{n+1}{\sqrt{2}} \right\} + \left\{ \frac{n+1}{2+\sqrt{2}} \right\} \right)$$

$$= n+1-1 = n$$

Corollary

The spectra  $\operatorname{Spec}(\sqrt{2})$  and  $\operatorname{Spec}(2+\sqrt{2})$  form a partition of the positive integers



### Floor/Ceiling Applications (3b) : Spectra

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$$= \left\lfloor \frac{n+1}{\sqrt{2}} \right\rfloor + \left\lfloor \frac{n+1}{2+\sqrt{2}} \right\rfloor$$

$$= \frac{n+1}{\sqrt{2}} - \left\{ \frac{n+1}{\sqrt{2}} \right\} + \frac{n+1}{2+\sqrt{2}} - \left\{ \frac{n+1}{2+\sqrt{2}} \right\}$$

$$= (n+1) \left( \frac{1}{\sqrt{2}} + \frac{1}{2+\sqrt{2}} \right) - \left( \left\{ \frac{n+1}{\sqrt{2}} \right\} + \left\{ \frac{n+1}{2+\sqrt{2}} \right\} \right)$$

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### Floor/Ceiling Recurrences: Examples

#### The Knuth numbers:

$$\begin{split} & \mathcal{K}_0 = 1; \\ & \mathcal{K}_{n+1} = 1 + \min(2\mathcal{K}_{\lfloor n/2 \rfloor}, 3\mathcal{K}_{\lfloor n/3 \rfloor}) \end{split} \qquad \text{for } n \geqslant 0. \end{split}$$

The sequence begins as

$$\mathcal{K} = \langle 1, 3, 3, 4, 7, 7, 7, 9, 9, 10, 13, \ldots \rangle$$



# Floor/Ceiling Recurrences: Examples

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#### Merge sort $n = \lceil n/2 \rceil + \lfloor n/2 \rfloor$ records, number of comparisons:

$$\begin{split} f_1 &= 0; \\ f_{n+1} &= f(\lfloor n/2 \rfloor) + f(\lceil n/2 \rceil) + n - 1 & \text{for } n > 1. \end{split}$$

The sequence begins as

$$f = \langle 0, 1, 3, 5, 8, 11, 14, 17, 21, 25, 29, 33 \dots \rangle$$



### Floor/Ceiling Recurrences: More Examples

#### The Josephus problem numbers:

$$J(1) = 1;$$
  

$$J(n) = 2J(\lfloor n/2 \rfloor) - (-1)^n \quad \text{for } n > 1.$$

The sequence begins as

$$J = \langle 1, 1, 3, 1, 3, 5, 7, 1, 3, 5, \ldots \rangle$$



### Generalization of Josephus problem

Josephus problem in general: from n elements, every q-th is circularly eliminated. The element with number  $J_q(n)$  will survive.

#### Theorem

$$J_q(n) = qn + 1 - D_k$$

where k is as small as possible such that  $D_k > (q-1)n$  and  $D_k$  is computed using the following recurrent relation:

$$D_0=1;$$
 
$$D_n=\left\lceil\frac{q}{q-1}D_{n-1}\right\rceil \qquad \quad \text{for } n>0.$$

For example, if q = 5 and n = 12

$$D = \langle 1, 2, 3, 4, 5, 7, 9, 12, 15, 19, 24, 30, 38, 48, 60, 75 \dots \rangle$$

Then  $(q-1)n = 4 \cdot 12 = 48$ , the proper  $D_k$  is  $D_{14} = 60$ , and

$$J_5(12) = 5 \cdot 12 + 1 - D_{14} = 60 + 1 - 60 = 1$$



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#### Proof of the Theorem

58 59 60

Whenever a person is passed over, we can assign a new number, as in the example below fo n=12, q=5

example below to $n=12, q=5$											
1	2	3	4	5	6	7	8	9	10	11	12
13	14	15	16		17	18	19	20		21	22
23	24		25		26	27	28			29	30
31	32				33	34	35			36	
37	38				39	40				41	
42	43				44					45	
46	47				48						
49	50				51						
52					53						
54					55						
56											
57											

Denoting by N and N' succeeding elements in a column, we get

$$N = \left\lfloor rac{N' - n - 1}{q - 1} 
ight
floor + N' - n$$



### Proof of the Theorem (2)

Denoting by D = qn + 1 - N and D' = qn + 1 - N', we obtain for the formula

$$N = \left| \frac{N' - n - 1}{a - 1} \right| + N' - n$$

another form:

$$qn+1-D = \left\lfloor \frac{qn+1-D'-n-1}{q-1} \right\rfloor + qn+1-D'-n$$

Let us transform this:

$$D = qn + 1 - \left\lfloor \frac{qn + 1 - D' - n - 1}{q - 1} \right\rfloor - qn - 1 + D' + n$$

$$= D' + n - \left\lfloor \frac{n(q - 1) - D'}{q - 1} \right\rfloor$$

$$= D' + n - \left\lfloor n - \frac{D'}{q - 1} \right\rfloor$$

$$= D' - \left\lfloor \frac{-D'}{q - 1} \right\rfloor$$

$$= D' + \left\lceil \frac{D'}{q - 1} \right\rceil$$

$$= \left\lceil \frac{q}{q - 1} D' \right\rceil$$

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# 'mod': The Binary Operation

### If n and m are positive integers

Write  $n = q \cdot m + r$  with  $q, r \in \mathbb{N}$  and  $0 \le r < m$ . Then:

$$q = \lfloor n/m \rfloor$$
 and  $r = n - m \cdot \lfloor n/m \rfloor = n \mod m$ 

#### If x and v are real numbers

We follow the same idea and set

$$x \mod y = x - y \cdot |x/y| \ \forall x, y \in \mathbb{R}, \ y \neq 0$$

Note that, with this definition:

For y = 0 we want to respect the general rule that  $x - (x \mod y) \in y\mathbb{Z} = \{yk \mid k \in \mathbb{Z}\}$ This is done by:



## 'mod': The Binary Operation

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## 'mod': The Binary Operation

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### If x and y are real numbers

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## Properties of the mod operation

### $x = |x| + x \bmod 1$

For y = 1 it is  $x \mod 1 = x - 1 \cdot \lfloor x/1 \rfloor = x - \lfloor x \rfloor$ .

### The distributive law: $c(x \mod y) = cx \mod cy$

If c = 0 both sides vanish; if y = 0 both sides equal cx. Otherwise:

$$c(x \mod y) = c(x - y \lfloor x/y \rfloor) = cx - cy \lfloor cx/cy \rfloor = cx \mod cy$$



# Warmup: Solve the following recurrence

$$X_n = n$$
 for  $0 \le n < m$ ,  
 $X_n = X_{n-m} + 1$  for  $n \ge m$ .



# Warmup: Solve the following recurrence

$$\begin{aligned} X_n &= n & \text{for } 0 \leqslant n < m \,, \\ X_n &= X_{n-m} + 1 & \text{for } n \geqslant m \,. \end{aligned}$$

### Solution

We plot the first values when m = 4:

We conjecture that:

if 
$$n = qm + r$$
 with  $q, r \in \mathbb{N}$  and  $0 \le r < m$  then  $X_n = q + r$ :

which clearly yields  $X_n = |n/m| + n \mod m$ .

- Induction base: True for n = 0, 1, ..., m-1.
- Inductive step: Let  $n \ge m$ . If  $X_{n'} = q' + r'$  for every n' = q'm + r' < n = qm + r, then:

$$X_n = X_{n-m} + 1 = X_{(q-1)m+r} + 1 = q - 1 + r + 1 = q + r$$



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# Floor/Ceiling Sums

## Example: Find the sum $\sum_{0 \le k < n} \lfloor \sqrt{k} \rfloor$ in its closed form:

$$\begin{split} \sum_{0 \leqslant k < n} \lfloor \sqrt{k} \rfloor &= \sum_{k, m \geqslant 0} m[k < n][m = \lfloor \sqrt{k} \rfloor] \\ &= \sum_{k, m \geqslant 0} m[k < n][m \leqslant \sqrt{k} < m + 1] \\ &= \sum_{k, m \geqslant 0} m[k < n][m^2 \leqslant k < (m + 1)^2] \\ &= \sum_{k, m \geqslant 0} m[m^2 \leqslant k < (m + 1)^2 \leqslant n] + \\ &= S_1 \\ &+ \sum_{k, m \geqslant 0} m[m^2 \leqslant k < n < (m + 1)^2] \\ &= S_2 \end{split}$$

# Floor/Ceiling Sums (2)

### Example continues ...

### Case $n = a^2$ , for a value $a \in \mathbb{N}$

$$S_2 = 0$$

$$S_{1} = \sum_{k,m \geqslant 0} m[m^{2} \leqslant k < (m+1)^{2} \leqslant a^{2}]$$

$$= \sum_{m \geqslant 0} m((m+1)^{2} - m^{2})[m+1 \leqslant a]$$

$$= \sum_{m \geqslant 0} m(2m+1)[m < a]$$

$$= \sum_{m \geqslant 0} (2m(m-1) + 3m)[m < a]$$

$$= \sum_{m \geqslant 0} (2m^{2} + 3m^{1})[m < a] = \sum_{0}^{a} (2m^{2} + 3m^{1})\delta m$$

$$= (\frac{2}{3}m^{3} + \frac{3}{2}m^{2})\Big|_{0}^{a} = \frac{2}{3}a(a-1)(a-2) + \frac{3}{2}a(a-1)$$

$$= \frac{2}{3}a^{3} - \frac{1}{2}a^{2} - \frac{1}{6}a$$



# Floor/Ceiling Sums (3)

### Example continues ...

### Case $n \neq b^2$ , for any integer b; let $a = |\sqrt{n}|$

- For  $0 \le k < a^2$  we get  $S_1 = \frac{2}{3}a^3 \frac{1}{2}a^2 \frac{1}{6}a$  and  $S_2 = 0$ , as before;
- For  $a^2 \le k < n$ , it is valid that  $S_1 = 0$  and

$$S_2 = \sum_{k,m\geqslant 0} m[m^2 \leqslant k < n < (m+1)^2]$$

$$= \sum_k a[a^2 \leqslant k < n]$$

$$= a\sum_k [a^2 \leqslant k < n]$$

$$= a(n-a^2) = an - a^3$$

#### To summarize

$$\sum_{0 \le k < n} \lfloor \sqrt{k} \rfloor = \frac{2}{3} a^3 - \frac{1}{2} a^2 - \frac{1}{6} a + an - a^3$$

$$= an - \frac{1}{2} a^3 - \frac{1}{2} a^2 - \frac{1}{6} a, \qquad \text{where } a = \lfloor \sqrt{n} \rfloor$$



# Floor/Ceiling Sums (3)

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#### To summarize:

$$\begin{split} \sum_{0 \leqslant k < n} \lfloor \sqrt{k} \rfloor &= \frac{2}{3} \, a^3 - \frac{1}{2} \, a^2 - \frac{1}{6} \, a + an - a^3 \\ &= an - \frac{1}{3} \, a^3 - \frac{1}{2} \, a^2 - \frac{1}{6} \, a, \qquad \quad \text{where } a = \lfloor \sqrt{n} \rfloor \end{split}$$

