Part II

Foundations

3 Goals

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- Learn how to analyze and judge the efficiency of algorithms.
- Learn how to design efficient algorithms.

4 Modelling Issues

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- Implementing and testing on representative inputs
  - How do you choose your inputs?
  - May be very time-consuming.
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  - Results only hold for a specific machine and for a specific set of inputs.

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- Theoretical analysis in a specific model of computation.
  - Gives asymptotic bounds like “this algorithm always runs in time $\mathcal{O}(n^2)$”.
  - Typically focuses on the worst case.
  - Can give lower bounds like “any comparison-based sorting algorithm needs at least $\Omega(n \log n)$ comparisons in the worst case”.

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Example 1
Suppose n numbers from the interval $\{1, \ldots, N\}$ have to be sorted. In this case we usually say that the input length is n instead of e.g. $n \log N$, which would be the number of bits required to encode the input.

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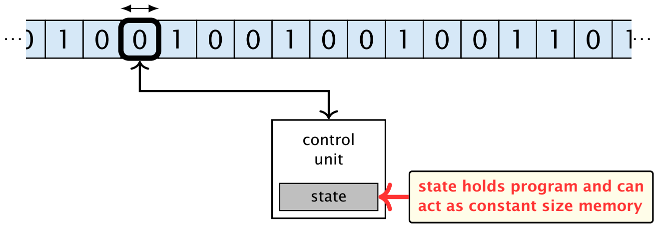
Version 2. is often easier, but focusing on one type of operation makes it more difficult to obtain meaningful results.

Turing Machine

- Very simple model of computation.



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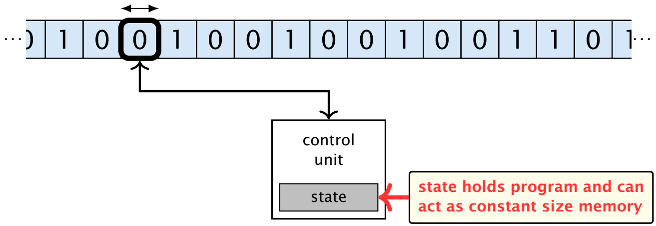

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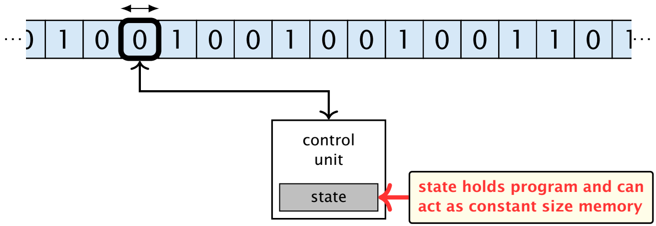

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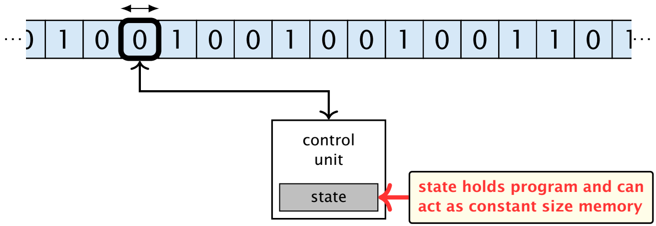

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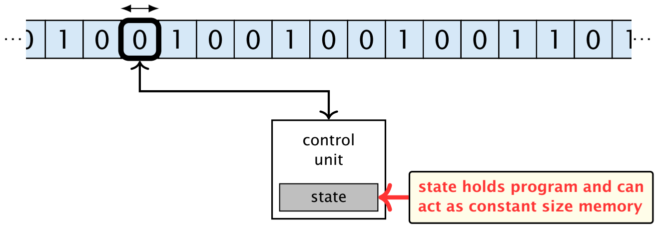
$\Longrightarrow$ **Not a good model for developing efficient algorithms.**



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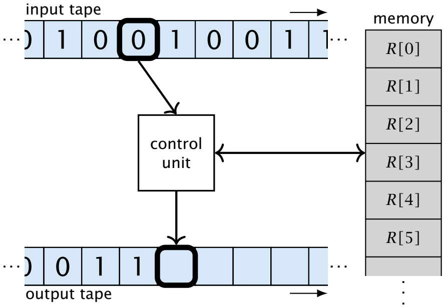

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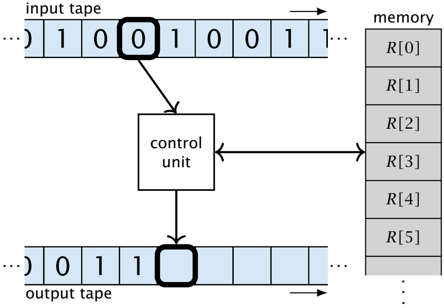

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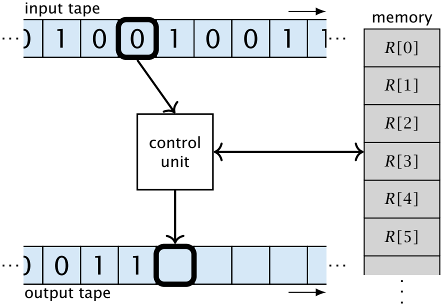

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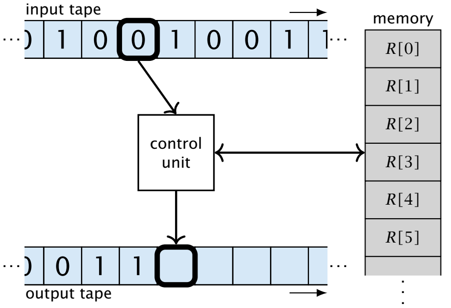

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Model of Computation

- uniform cost model
  Every operation takes time 1.

The latter model is quite realistic as the word-size of a standard computer that handles a problem of size n must be at least $\log_2 n$ as otherwise the computer could either not store the problem instance or not address all its memory.

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Bounded word RAM model: cost is uniform but the largest value stored in a register may not exceed 2^w, where usually $w = \log_2 n$.

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Algorithm 1 RepeatedSquaring(n)

1: $r \leftarrow 2$;
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- best-case complexity:

$$C_{\mathrm{bc}}(n) := \min\{C(x) \mid |x| = n\}$$

  Usually easy to analyze, but not very meaningful.

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  more general: probability measure μ

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- amortized complexity:
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- randomized complexity:
  The algorithm may use random bits. Expected running time (over all possible choices of random bits) for a fixed input x. Then take the worst-case over all x with $|x| = n$.

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- Running time should be expressed by simple functions.

Asymptotic Notation

Formal Definition

Let f, g denote functions from $\mathbb{N}$ to $\mathbb{R}^+$.

- $\mathcal{O}(f) = \{g \mid \exists c > 0\ \exists n_0 \in \mathbb{N}_0\ \forall n \geq n_0 : [g(n) \leq c \cdot f(n)]\}$
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Asymptotic Notation

Formal Definition

Let f, g denote functions from $\mathbb{N}$ to $\mathbb{R}^+$.

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There is an equivalent definition using limes notation (assuming that the respective limes exists). f and g are functions from $\mathbb{N}_0$ to $\mathbb{R}_0^+$.

- $g \in \mathcal{O}(f)$: $\quad 0 \leq \lim_{n \to \infty} \frac{g(n)}{f(n)} < \infty$

- Note that for the version of the Landau notation defined here, we assume that f and g are positive functions.
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Abuse of notation

1. People write $f = \mathcal{O}(g)$, when they mean $f \in \mathcal{O}(g)$. This is **not** an equality (how could a function be equal to a set of functions).

2. In this context $f(n)$ does **not** mean the function f evaluated at n, but instead it is a shorthand for the function itself (leaving out domain and codomain and only giving the rule of correspondence of the function).

3. This is particularly useful if you do not want to ignore constant factors. For example the median of n elements can be determined using $\frac{3}{2}n + o(n)$ comparisons.

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3. People write e.g. $h(n) = f(n) + o(g(n))$ when they mean that there exists a function $z : \mathbb{N} \to \mathbb{R}^+, n \mapsto z(n), z \in o(g)$ such that $h(n) = f(n) + z(n)$.

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4. People write $\mathcal{O}(f(n)) = \mathcal{O}(g(n))$, when they mean $\mathcal{O}(f(n)) \subseteq \mathcal{O}(g(n))$. Again this is not an equality.

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Asymptotic Notation in Equations

How do we interpret an expression like:

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Note that $\Theta(n)$ is on the right hand side, otw. this interpretation is wrong.

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Regardless of how we choose the anonymous function $f(n) \in \mathcal{O}(n)$ there is an anonymous function $g(n) \in \Theta(n^2)$ that makes the expression true.

Asymptotic Notation in Equations

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Careful!

Asymptotic Notation in Equations

The $\Theta(i)$-symbol on the left represents one anonymous function $f : \mathbb{N} \to \mathbb{R}^+$, and then $\sum_i f(i)$ is computed.

How do we interpret an expression like:

$$\sum_{i=1}^{n} \Theta(i) = \Theta(n^2)$$

Careful!

"It is understood" that every occurence of an $\mathcal{O}$-symbol (or $\Theta, \Omega, o, \omega$) on the left represents one anonymous function.

Hence, the left side is **not** equal to

$$\Theta(1) + \Theta(2) + \cdots + \Theta(n-1) + \Theta(n)$$

$\Theta(1) + \Theta(2) + \cdots + \Theta(n-1) + \Theta(n)$ does not really have a reasonable interpretation.

Asymptotic Notation in Equations

We can view an expression containing asymptotic notation as generating a set:

$$n^2 \cdot \mathcal{O}(n) + \mathcal{O}(\log n)$$

represents

$$\Big\{ f : \mathbb{N} \to \mathbb{R}^+ \mid f(n) = n^2 \cdot g(n) + h(n)$$

with $g(n) \in \mathcal{O}(n$

Recall that according to the previous slide e.g. the expressions $\sum_{i=1}^{n} \mathcal{O}(i)$ and $\sum_{i=1}^{n/2} \mathcal{O}(i) + \sum_{i=n/2+1}^{n} \mathcal{O}(i)$ generate different sets.

Asymptotic Notation in Equations

Then an asymptotic equation can be interpreted as containement btw. two sets:

$$n^2 \cdot \mathcal{O}(n) + \mathcal{O}(\log n) = \Theta(n^2)$$

represents

$$n^2 \cdot \mathcal{O}(n) + \mathcal{O}(\log n) \subseteq \Theta(n^2)$$

Note that the equation does not hold.

Asymptotic Notation

Lemma 3

Let f, g be functions with the property $\exists n_0 > 0\ \forall n \geq n_0 : f(n) > 0$ (the same for g). Then

- $c \cdot f(n) \in \Theta(f(n))$ *for any constant* c

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The expressions also hold for Ω. Note that this means that $f(n) + g(n) \in \Theta(\max\{f(n), g(n)\})$.

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- For any constants a, b we have $\log_a n = \Theta(\log_b n)$. Therefore, we will usually ignore the base of a logarithm within asymptotic notation.
- In general $\log n = \log_2 n$, i.e., we use 2 as the default base for the logarithm.

Asymptotic Notation

In general asymptotic classification of running times is a good measure for comparing algorithms:

- If the running time analysis is tight and actually occurs in practise (i.e., the asymptotic bound is not a purely theoretical worst-case bound), then the algorithm that has better asymptotic running time will always outperform a weaker algorithm for large enough values of n.

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- However, suppose that I have two algorithms:
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  Clearly $f = o(g)$. However, as long as $\log n \leq 1000$ Algorithm B will be more efficient.

Multiple Variables in Asymptotic Notation

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Formal Definition

Let f, g denote functions from $\mathbb{N}^d$ to $\mathbb{R}_0^+$.

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6 Recurrences

Algorithm 2 mergesort(list L)

$n \leftarrow \mathrm{size}(L)$
if $n \leq 1$ **return** L
$L_1 \leftarrow L[1 \cdots \lfloor \frac{n}{2} \rfloor]$
$L_2 \leftarrow L[\lfloor \frac{n}{2} \rfloor + 1 \cdots n]$
$\mathrm{mergesort}(L_1)$
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This algorithm requires

$$T(n) = T\left(\left\lceil \frac{n}{2} \right\rceil\right) + T\left(\left\lfloor \frac{n}{2} \right\rfloor\right) + \mathcal{O}(n) \le 2T\left(\left\lceil \frac{n}{2} \right\rceil\right) + \mathcal{O}(n)$$

comparisons when $n > 1$ and 0 comparisons when $n \le 1$.

Recurrences

How do we bring the expression for the number of comparisons ($\approx$ running time) into a closed form?

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For this we need to solve the recurrence.

Methods for Solving Recurrences

1. **Guessing+Induction**
   Guess the right solution and prove that it is correct via induction. It needs experience to make the right guess.
2. **Master Theorem**
   For a lot of recurrences that appear in the analysis of algorithms this theorem can be used to obtain tight asymptotic bounds. It does not provide exact solutions.
3. **Characteristic Polynomial**
   Linear homogenous recurrences can be solved via this method.

Methods for Solving Recurrences

4. **Generating Functions**
   A more general technique that allows to solve certain types of linear inhomogenous relations and also sometimes non-linear recurrence relations.
5. **Transformation of the Recurrence**
   Sometimes one can transform the given recurrence relations so that it e.g. becomes linear and can therefore be solved with one of the other techniques.

6.1 Guessing+Induction

First we need to get rid of the $\mathcal{O}$-notation in our recurrence:

$$T(n) \leq \begin{cases} 2T(\lceil \frac{n}{2} \rceil) + cn & n \geq 2 \\ 0 & \text{otherwise} \end{cases}$$

Informal way:

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One way of solving such a recurrence is to guess a solution, and check that it is correct by plugging it in.

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&\leq dn\log n
\end{aligned}$$

if we choose $d \geq c$.

6.1 Guessing+Induction

Suppose we guess $T(n) \leq dn \log n$ for a constant d. Then

$$\begin{aligned} T(n) &\leq 2T\left(\frac{n}{2}\right) + cn \\ &\leq 2\left(d\frac{n}{2}\log\frac{n}{2}\right) + cn \\ &= dn(\log n - 1) + cn \\ &= dn \log n + (c - d)n \\ &\leq dn \log n \end{aligned}$$

if we choose $d \geq c$.

Formally, this is not correct if n is not a power of 2. Also even in this case one would need to do an induction proof.

6.1 Guessing+Induction

$$T(n) \le \begin{cases} 2T(\frac{n}{2}) + cn & n \ge 16 \\ b & \text{otw.} \end{cases}$$

- Note that this proves the statement for $n = 2^k$, $k \in \mathbb{N}_{\ge 1}$, as the statement is wrong for $n = 1$.
- The base case is usually omitted, as it is the same for different recurrences.

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$$T(n) \le \begin{cases} 2T(\frac{n}{2}) + cn & n \ge 16 \\ b & \text{otw.} \end{cases}$$

Guess: $T(n) \le dn \log n$.

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- **base case** $(2 \le n < 16)$:

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$$\begin{aligned} T(n) &\le 2T\left(\frac{n}{2}\right) + cn \\ &\le 2\left(d\frac{n}{2}\log\frac{n}{2}\right) + cn \\ &= dn(\log n - 1) + cn \end{aligned}$$

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- Note that this proves the statement for $n = 2^k$, $k \in \mathbb{N}_{\geq 1}$, as the statement is wrong for $n = 1$.
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Hence, statement is true if we choose $d \geq c$.

6.1 Guessing+Induction

How do we get a result for all values of n?

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We consider the following recurrence instead of the original one:

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Note that we can do this as for constant-sized inputs the running time is always some constant (b in the above case).

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We also make a guess of $T(n) \leq dn \log n$ and get

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$$\begin{aligned} T(n) &\leq 2T\left(\left\lceil \frac{n}{2} \right\rceil\right) + cn \\ &\leq 2\left(d\left\lceil \frac{n}{2} \right\rceil \log\left\lceil \frac{n}{2} \right\rceil\right) + cn \end{aligned}$$

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\end{aligned}
$$

$\boxed{\left\lceil\frac{n}{2}\right\rceil \leq \frac{n}{2} + 1}$

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$$\boxed{\tfrac{n}{2}+1 \leq \tfrac{9}{16}n}$$

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$$\boxed{\log\tfrac{9}{16}n = \log n + (\log 9 - 4)}$$

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\boxed{\log \tfrac{9}{16}n = \log n + (\log 9 - 4)} \quad &= dn\log n + (\log 9 - 4)dn + 2d\log n + cn
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& \boxed{\log\tfrac{9}{16}n = \log n + (\log 9 - 4)} & &= dn\log n + (\log 9 - 4)dn + 2d\log n + cn \\
& \boxed{\log n \le \tfrac{n}{4}} & &\le dn\log n + (\log 9 - 3.5)dn + cn
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\boxed{\log n \leq \tfrac{n}{4}} \quad &\leq dn\log n + (\log 9 - 3.5)dn + cn \\
&\leq dn\log n - 0.33dn + cn
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& & &\leq dn\log n - 0.33dn + cn \\
& & &\leq dn\log n
\end{aligned}
$$

for a suitable choice of d.

6.2 Master Theorem

Note that the cases do not cover all possibilities.

Lemma 5

Let $a \geq 1, b \geq 1$ and $\epsilon > 0$ denote constants. Consider the recurrence

$$T(n) = aT\left(\frac{n}{b}\right) + f(n) \ .$$

Case 1.

If $f(n) = \mathcal{O}(n^{\log_b(a)-\epsilon})$ then $T(n) = \Theta(n^{\log_b a})$.

Case 2.

If $f(n) = \Theta(n^{\log_b(a)} \log^k n)$ then $T(n) = \Theta(n^{\log_b a} \log^{k+1} n)$, $k \geq 0$.

Case 3.

If $f(n) = \Omega(n^{\log_b(a)+\epsilon})$ and for sufficiently large n $af(\frac{n}{b}) \leq cf(n)$ for some constant $c < 1$ then $T(n) = \Theta(f(n))$.

6.2 Master Theorem

We prove the Master Theorem for the case that n is of the form b^ℓ, and we assume that the non-recursive case occurs for problem size 1 and incurs cost 1.

The Recursion Tree

The running time of a recursive algorithm can be visualized by a recursion tree:

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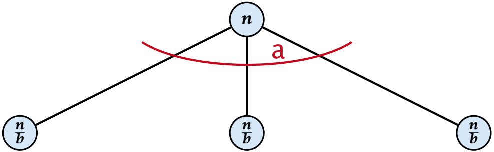

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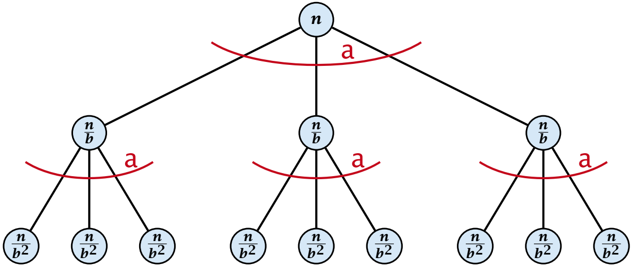

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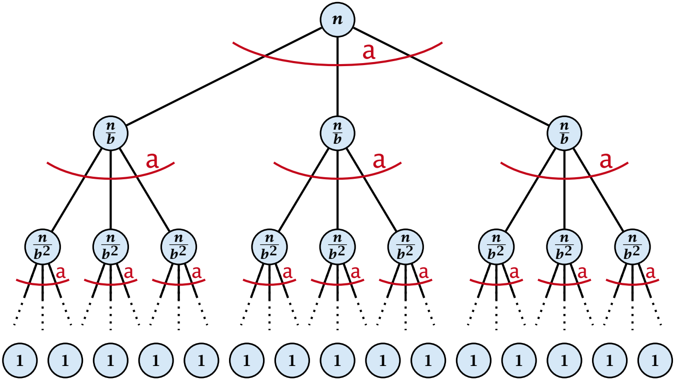

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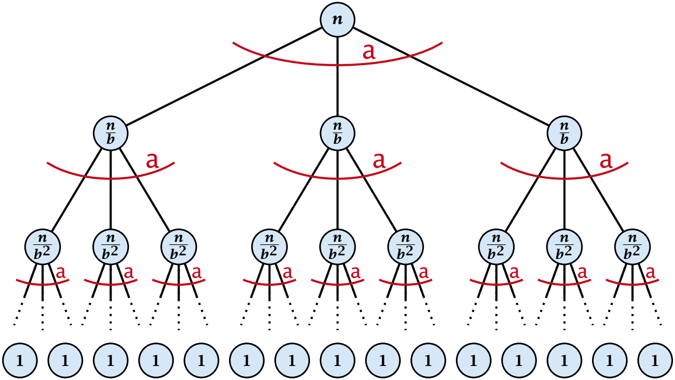

$f(n)$

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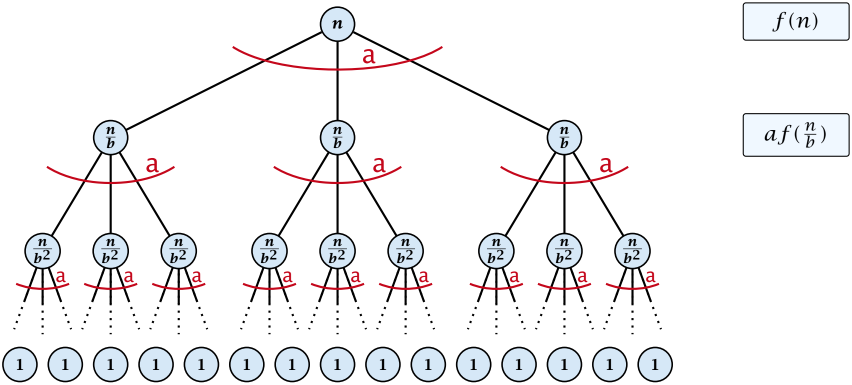

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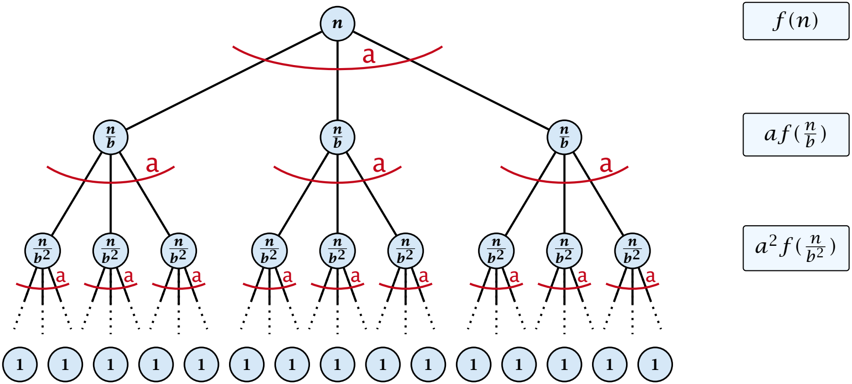

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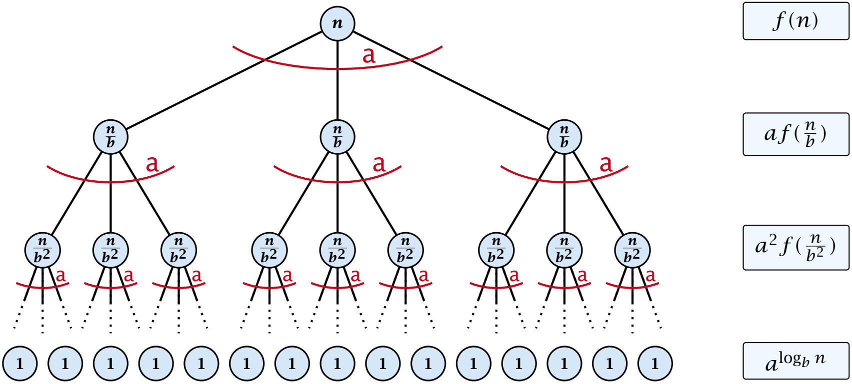

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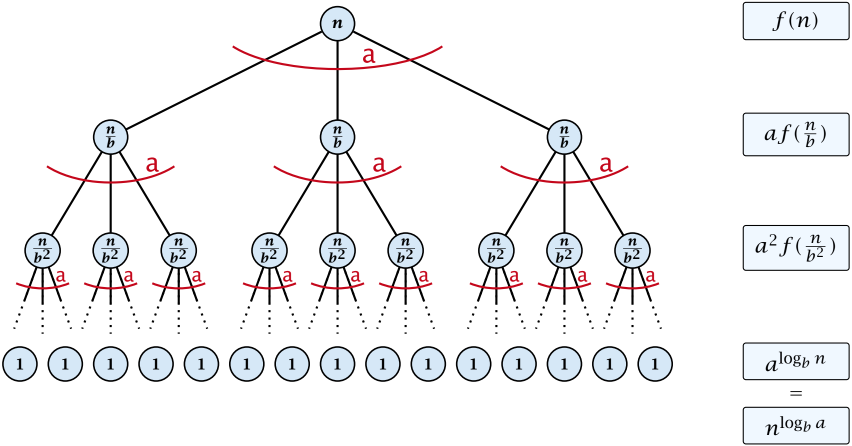

6.2 Master Theorem

This gives

$$T(n) = n^{\log_b a} + \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right) \,.$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a - \epsilon}$.

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$$T(n) - n^{\log_b a}$$

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$$T(n) - n^{\log_b a} = \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right)$$

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$$
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T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right) \\
&\le c \sum_{i=0}^{\log_b n - 1} a^i \left(\frac{n}{b^i}\right)^{\log_b a - \epsilon}
\end{aligned}
$$

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$$\begin{aligned} T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n - 1} a^i f\left(\frac{n}{b^i}\right) \\ &\leq c \sum_{i=0}^{\log_b n - 1} a^i \left(\frac{n}{b^i}\right)^{\log_b a - \epsilon} \end{aligned}$$

$$\boxed{b^{-i(\log_b a - \epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}}$$

Case 1. Now suppose that $f(n) \le cn^{\log_b a - \epsilon}$.

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\boxed{b^{-i(\log_b a - \epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}} \quad &= cn^{\log_b a - \epsilon} \sum_{i=0}^{\log_b n - 1} (b^{\epsilon})^i
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&= cn^{\log_b a - \epsilon} \sum_{i=0}^{\log_b n - 1} \left(b^{\epsilon}\right)^i
\end{aligned}
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$\boxed{b^{-i(\log_b a - \epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}}$

$\boxed{\sum_{i=0}^{k} q^i = \frac{q^{k+1} - 1}{q - 1}}$

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\boxed{b^{-i(\log_b a - \epsilon)} = b^{\epsilon i}(b^{\log_b a})^{-i} = b^{\epsilon i} a^{-i}} \quad &= cn^{\log_b a - \epsilon} \sum_{i=0}^{\log_b n - 1} (b^{\epsilon})^i \\
\boxed{\textstyle\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}} \quad &= cn^{\log_b a - \epsilon}(b^{\epsilon \log_b n} - 1)/(b^{\epsilon} - 1)
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$$= cn^{\log_b a - \epsilon} \sum_{i=0}^{\log_b n - 1} (b^{\epsilon})^i$$

$\boxed{\sum_{i=0}^{k} q^i = \frac{q^{k+1}-1}{q-1}}$

$$\begin{aligned} &= cn^{\log_b a - \epsilon}(b^{\epsilon \log_b n} - 1)/(b^{\epsilon} - 1) \\ &= cn^{\log_b a - \epsilon}(n^{\epsilon} - 1)/(b^{\epsilon} - 1) \end{aligned}$$

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\boxed{\sum_{i=0}^k q^i = \frac{q^{k+1}-1}{q-1}} \quad &= cn^{\log_b a-\epsilon}(b^{\epsilon\log_b n} - 1)/(b^\epsilon - 1) \\
&= cn^{\log_b a-\epsilon}(n^\epsilon - 1)/(b^\epsilon - 1) \\
&= \frac{c}{b^\epsilon - 1} n^{\log_b a}(n^\epsilon - 1)/(n^\epsilon)
\end{aligned}$$

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\end{aligned}
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Hence,

$$
T(n) \le \left(\frac{c}{b^\epsilon - 1} + 1\right) n^{\log_b (a)}
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\end{aligned}
$$

Hence,

$$
T(n) \leq \left(\frac{c}{b^\epsilon - 1} + 1\right) n^{\log_b (a)} \qquad \boxed{\Rightarrow T(n) = \mathcal{O}(n^{\log_b a}).}
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&= cn^{\log_b a} \log_b n
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Hence,

$$T(n) = \mathcal{O}(n^{\log_b a} \log_b n)$$

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Hence,

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Hence,

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Hence,

$$T(n) = \Omega(n^{\log_b a} \log_b n) \qquad \boxed{\Rightarrow T(n) = \Omega(n^{\log_b a} \log n).}$$

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&= c n^{\log_b a} \sum_{i=0}^{\ell-1} (\ell - i)^k \\
&= c n^{\log_b a} \boxed{\sum_{i=1}^{\ell} i^k} \approx \frac{1}{k} \ell^{k+1}
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&\approx \frac{c}{k} n^{\log_b a} \ell^{k+1}
\end{aligned}$$

$\boxed{n = b^\ell \Rightarrow \ell = \log_b n}$

$\boxed{\Rightarrow T(n) = \mathcal{O}(n^{\log_b a} \log^{k+1} n).}$

Case 3. Now suppose that $f(n) \geq dn^{\log_b a+\epsilon}$, and that for sufficiently large n: $af(n/b) \leq cf(n)$, for $c < 1$.

Where did we use $f(n) \geq \Omega(n^{\log_b a+\epsilon})$?

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T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\
&\leq \sum_{i=0}^{\log_b n-1} c^i f(n) + \mathcal{O}(n^{\log_b a})
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$$\begin{aligned} T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\ &\leq \sum_{i=0}^{\log_b n-1} c^i f(n) + \mathcal{O}(n^{\log_b a}) \\ &\leq \frac{1}{1-c} f(n) + \mathcal{O}(n^{\log_b a}) \end{aligned}$$

$q < 1 : \sum_{i=0}^{n} q^i = \frac{1-q^{n+1}}{1-q} \leq \frac{1}{1-q}$

Hence,

$$T(n) \leq \mathcal{O}(f(n))$$

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Case 3. Now suppose that $f(n) \geq dn^{\log_b a+\epsilon}$, and that for sufficiently large n: $af(n/b) \leq cf(n)$, for $c < 1$.

From this we get $a^i f(n/b^i) \leq c^i f(n)$, where we assume that $n/b^{i-1} \geq n_0$ is still sufficiently large.

$$\begin{aligned} T(n) - n^{\log_b a} &= \sum_{i=0}^{\log_b n-1} a^i f\left(\frac{n}{b^i}\right) \\ &\leq \sum_{i=0}^{\log_b n-1} c^i f(n) + \mathcal{O}(n^{\log_b a}) \\ &\leq \frac{1}{1-c} f(n) + \mathcal{O}(n^{\log_b a}) \end{aligned}$$

$q < 1 : \sum_{i=0}^{n} q^i = \frac{1-q^{n+1}}{1-q} \leq \frac{1}{1-q}$

Hence,

$$T(n) \leq \mathcal{O}(f(n))$$

$\Rightarrow T(n) = \Theta(f(n))$.

Where did we use $f(n) \geq \Omega(n^{\log_b a+\epsilon})$?

Example: Multiplying Two Integers

Suppose we want to multiply two n-bit Integers, but our registers can only perform operations on integers of constant size.

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\hline
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1	0	0	0	1	0	0	1_1	1	B
								0	

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\hline
 & & & & & & & 0 & 0 & &
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & & & & & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & & & & & & 0 & 0 & 0 & &
\end{array}
$$

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$$
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 & 1 & 1 & 0 & 1 & 1 & 0 & 1 & 0 & 1 & \quad A \\
 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & \quad B \\
 & & & & & & {}_1 & {}_1 & {}_1 & & \\
\hline
 & & & & & & & 0 & 0 & 0 &
\end{array}
$$

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 & & & & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
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 & & & & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & & & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & & & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & & & \boxed{0} & 0 & 1 & 0 & 0 & 0 & &
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & & & 0 & 0 & 1 & 0 & 0 & 0 & &
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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
 & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & & \boxed{1} & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}
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 & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}
$$

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$$
\begin{array}{ccccccccccc}
1 & 1 & 0 & 1 & 1 & 0 & 1 & 0 & 1 & & A \\
1_{0} & 0_{0} & 0_{1} & 0_{1} & 1_{0} & 0_{1} & 0_{1} & 1_{1} & 1 & & B \\
\hline
 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
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$$

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1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
{\scriptstyle 0} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}
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 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & & B \\
{\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & & \\
\hline
 & 0 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 & &
\end{array}
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$$
\begin{array}{c|ccccccccc|c}
 & 1 & 1 & 0 & 1 & 1 & 0 & 1 & 0 & 1 & A \\
 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & B \\
{\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & \\
\hline
 & 0 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 &
\end{array}
$$

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	1	1	0	1	1	0	1	0	1	A
	1	0	0	0	1	0	0	1	1	B
1	0	0	1	1	0	1	1	1		
1	0	1	1	0	0	1	0	0	0	

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 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 1 & 1 & \quad B \\
 {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 0} & {\scriptstyle 1} & {\scriptstyle 1} & {\scriptstyle 1} & & \\
\hline
1 & 0 & 1 & 1 & 0 & 0 & 1 & 0 & 0 & 0 &
\end{array}
$$

This gives that two n-bit integers can be added in time $\mathcal{O}(n)$.

Example: Multiplying Two Integers

Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \le n$).

- This is also nown as the "school method" for multiplying integers.
- Note that the intermediate numbers that are generated can have at most $m + n \le 2n$ bits.

Example: Multiplying Two Integers

Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \le n$).

$$\begin{array}{r} 1\ 0\ 0\ 0\ 1 \times 1\ 0\ 1\ 1 \\ \hline \end{array}$$

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Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

$$
\begin{array}{rrrrrrrrrr}
1 & 0 & 0 & 0 & 1 & \times & 1 & 0 & \boxed{1} & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0
\end{array}
$$

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$$
\begin{array}{rrrrrrrrrrr}
1 & 0 & 0 & 0 & 1 & \times & 1 & \boxed{0} & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0
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1 & 0 & 0 & 0 & 1 & \times & 1 & \boxed{0} & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & & & & & & 0 & 0
\end{array}
$$

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\begin{array}{rrrrrrrrrr}
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\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0
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\begin{array}{cccccccccc}
1 & 0 & 0 & 0 & 1 & \times & \boxed{1} & 0 & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0
\end{array}
$$

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\begin{array}{cccccccccc}
1 & 0 & 0 & 0 & 1 & \times & \boxed{1} & 0 & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 & & & & & & & 0 & 0 & 0
\end{array}
$$

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Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

	1	0	0	0	1	$\times$	$\boxed{1}$	0	1	1

				1	0	0	0	1
			1	0	0	0	1	0
		0	0	0	0	0	0	0
	1	0	0	0	1	0	0	0

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$$
\begin{array}{cccccccccc}
1 & 0 & 0 & 0 & 1 & \times & 1 & 0 & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 & & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 0 \\
\hline
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Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

$$
\begin{array}{rrrrrrrrr}
 & 1 & 0 & 0 & 0 & 1 & \times & 1\ 0\ 1\ 1 \\
\hline
 & & & & 1 & 0 & 0 & 0\ 1 \\
 & & & 1 & 0 & 0 & 0 & 1\ 0 \\
 & & 0 & 0 & 0 & 0 & 0 & 0\ 0 \\
 & 1 & 0 & 0 & 0 & 1 & 0 & 0\ 0 \\
\hline
 & 1 & 0 & 1 & 1 & 1 & 0 & 1\ 1
\end{array}
$$

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$$
\begin{array}{rrrrrrrr}
 & & & 1\ 0\ 0\ 0\ 1 & \times & 1\ 0\ 1\ 1 & & \\
\hline
 & & & 1 & 0 & 0 & 0 & 1 \\
 & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
1 & 0 & 0 & 0 & 1 & 0 & 0 & 0 \\
\hline
1 & 0 & 1 & 1 & 1 & 0 & 1 & 1
\end{array}
$$

- This is also nown as the "school method" for multiplying integers.
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Time requirement:

Example: Multiplying Two Integers

Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

$$
\begin{array}{cccccccccc}
1 & 0 & 0 & 0 & 1 & \times & 1 & 0 & 1 & 1 \\
\hline
 & & & & & 1 & 0 & 0 & 0 & 1 \\
 & & & & 1 & 0 & 0 & 0 & 1 & 0 \\
 & & & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\
 & & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 0 \\
\hline
 & & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1
\end{array}
$$

- This is also nown as the “school method” for multiplying integers.
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Time requirement:

- Computing intermediate results: $\mathcal{O}(nm)$.

Example: Multiplying Two Integers

Suppose that we want to multiply an n-bit integer A and an m-bit integer B ($m \leq n$).

$$
\begin{array}{r}
1\ 0\ 0\ 0\ 1 \times 1\ 0\ 1\ 1 \\
\hline
1\ 0\ 0\ 0\ 1 \\
1\ 0\ 0\ 0\ 1\ 0 \\
0\ 0\ 0\ 0\ 0\ 0\ 0 \\
1\ 0\ 0\ 0\ 1\ 0\ 0\ 0 \\
\hline
1\ 0\ 1\ 1\ 1\ 0\ 1\ 1
\end{array}
$$

- This is also nown as the “school method” for multiplying integers.
- Note that the intermediate numbers that are generated can have at most $m + n \leq 2n$ bits.

Time requirement:

- Computing intermediate results: $\mathcal{O}(nm)$.
- Adding m numbers of length $\leq 2n$: $\mathcal{O}((m+n)m) = \mathcal{O}(nm)$.

Example: Multiplying Two Integers

A recursive approach:

Suppose that integers A and B are of length $n = 2^k$, for some k.

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$$B \times A$$

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Suppose that integers A and B are of length $n = 2^k$, for some k.

$$\boxed{b_{n-1} \quad \cdots \quad b_0} \times \boxed{a_{n-1} \quad \cdots \quad a_0}$$

Example: Multiplying Two Integers

A recursive approach:

Suppose that integers A and B are of length $n = 2^k$, for some k.

$$\boxed{b_{n-1} \quad \cdots \quad b_{\frac{n}{2}} \;\; b_{\frac{n}{2}-1} \quad \cdots \quad b_0} \times \boxed{a_{n-1} \quad \cdots \quad a_{\frac{n}{2}} \;\; a_{\frac{n}{2}-1} \quad \cdots \quad a_0}$$

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A recursive approach:

Suppose that integers A and B are of length $n = 2^k$, for some k.

$$\boxed{B_1 \;\big|\; B_0} \times \boxed{A_1 \;\big|\; A_0}$$

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A recursive approach:

Suppose that integers A and B are of length $n = 2^k$, for some k.

B_1	B_0	$\times$	A_1	A_0

Then it holds that

$$A = A_1 \cdot 2^{\frac{n}{2}} + A_0 \text{ and } B = B_1 \cdot 2^{\frac{n}{2}} + B_0$$

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Then it holds that

$$A = A_1 \cdot 2^{\frac{n}{2}} + A_0 \text{ and } B = B_1 \cdot 2^{\frac{n}{2}} + B_0$$

Hence,

$$A \cdot B = A_1 B_1 \cdot 2^n + (A_1 B_0 + A_0 B_1) \cdot 2^{\frac{n}{2}} + A_0 B_0$$

Example: Multiplying Two Integers

Algorithm 3 mult(A, B)

if $|A| = |B| = 1$ **then**
    return $a_0 \cdot b_0$
split A into A_0 and A_1
split B into B_0 and B_1
$Z_2 \leftarrow \text{mult}(A_1, B_1)$
$Z_1 \leftarrow \text{mult}(A_1, B_0) + \text{mult}(A_0, B_1)$
$Z_0 \leftarrow \text{mult}(A_0, B_0)$
return $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$

Example: Multiplying Two Integers

Algorithm 3 mult(A, B)

---

if $|A| = |B| = 1$ **then** $\mathcal{O}(1)$

  return $a_0 \cdot b_0$

split A into A_0 and A_1

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if |A| = |B| = 1 then                          O(1)
    return a_0 · b_0                           O(1)
split A into A_0 and A_1                       O(n)
split B into B_0 and B_1
Z_2 ← mult(A_1, B_1)
Z_1 ← mult(A_1, B_0) + mult(A_0, B_1)
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- **if** $|A| = |B| = 1$ **then** — $\mathcal{O}(1)$
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$Z_2 \leftarrow \mathrm{mult}(A_1, B_1)$	$T(\frac{n}{2})$
$Z_1 \leftarrow \mathrm{mult}(A_1, B_0) + \mathrm{mult}(A_0, B_1)$	
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return $Z_2 \cdot 2^n + Z_1 \cdot 2^{\frac{n}{2}} + Z_0$	$\mathcal{O}(n)$

We get the following recurrence:

$$T(n) = 4T\left(\frac{n}{2}\right) + \mathcal{O}(n) \ .$$

Example: Multiplying Two Integers

Master Theorem: Recurrence: $T[n] = aT(\frac{n}{b}) + f(n)$.

- Case 1: $f(n) = \mathcal{O}(n^{\log_b a - \epsilon})$ $\quad T(n) = \Theta(n^{\log_b a})$
- Case 2: $f(n) = \Theta(n^{\log_b a} \log^k n)$ $\quad T(n) = \Theta(n^{\log_b a} \log^{k+1} n)$
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In our case $a = 4$, $b = 2$, and $f(n) = \Theta(n)$. Hence, we are in Case 1, since $n = \mathcal{O}(n^{2-\epsilon}) = \mathcal{O}(n^{\log_b a - \epsilon})$.

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We get a running time of $\mathcal{O}(n^2)$ for our algorithm.

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We get a running time of $\mathcal{O}(n^2)$ for our algorithm.

$\Longrightarrow$ Not better then the “school method”.

Example: Multiplying Two Integers

We can use the following identity to compute Z_1:

A more precise (correct) analysis would say that computing Z_1 needs time $T(\frac{n}{2}+1)+\mathcal{O}(n)$.

Example: Multiplying Two Integers

We can use the following identity to compute Z_1:

$$Z_1 = A_1 B_0 + A_0 B_1$$

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We can use the following identity to compute Z_1:

$$\begin{aligned} Z_1 &= A_1B_0 + A_0B_1 \\ &= (A_0 + A_1) \cdot (B_0 + B_1) - A_1B_1 - A_0B_0 \end{aligned}$$

A more precise (correct) analysis would say that computing Z_1 needs time $T(\frac{n}{2} + 1) + \mathcal{O}(n)$.

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Hence,

Algorithm 4 mult(A, B)

```
if |A| = |B| = 1 then
    return a_0 · b_0
split A into A_0 and A_1
split B into B_0 and B_1
Z_2 ← mult(A_1, B_1)
Z_0 ← mult(A_0, B_0)
Z_1 ← mult(A_0 + A_1, B_0 + B_1) − Z_2 − Z_0
return Z_2 · 2^n + Z_1 · 2^(n/2) + Z_0
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1: **if** $|A| = |B| = 1$ **then** $\quad \mathcal{O}(1)$
2: **return** $a_0 \cdot b_0$
3: split A into A_0 and A_1
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5: $Z_2 \leftarrow \text{mult}(A_1, B_1)$
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if |A| = |B| = 1 then                                 O(1)
    return a_0 · b_0                                   O(1)
split A into A_0 and A_1                               O(n)
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$$T(n) = 3T\left(\frac{n}{2}\right) + \mathcal{O}(n) \enspace .$$

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Again we are in Case 1. We get a running time of $\Theta(n^{\log_2 3}) \approx \Theta(n^{1.59})$.

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Again we are in Case 1. We get a running time of $\Theta(n^{\log_2 3}) \approx \Theta(n^{1.59})$.

A huge improvement over the “school method”.

6.3 The Characteristic Polynomial

Consider the recurrence relation:

$$c_0T(n) + c_1T(n-1) + c_2T(n-2) + \cdots + c_kT(n-k) = f(n)$$

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This is the general form of a linear recurrence relation of order k with constant coefficients ($c_0, c_k \neq 0$).

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This is the general form of a linear recurrence relation of order k with constant coefficients ($c_0, c_k \neq 0$).

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Note that we ignore boundary conditions for the moment.

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Approach:

- First determine all solutions that satisfy recurrence relation.
- Then pick the right one by analyzing boundary conditions.
- First consider the homogenous case.

The Homogenous Case

The solution space

$$S = \left\{ \mathcal{T} = T[1], T[2], T[3], \ldots \;\middle|\; \mathcal{T} \text{ fulfills recurrence relation} \right\}$$

is a vector space.

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How do we find a non-trivial solution?

We guess that the solution is of the form λ^n, $\lambda \neq 0$, and see what happens. In order for this guess to fulfill the recurrence we need

$$c_0\lambda^n + c_1\lambda^{n-1} + c_2 \cdot \lambda^{n-2} + \cdots + c_k \cdot \lambda^{n-k} = 0$$

for all $n \geq k$.

The Homogenous Case

Dividing by λ^{n-k} gives that all these constraints are identical to

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This means that if λ_i is a root (Nullstelle) of $P[\lambda]$ then $T[n] = \lambda_i^n$ is a solution to the recurrence relation.

Let $\lambda_1, \ldots, \lambda_k$ be the k (complex) roots of $P[\lambda]$. Then, because of the vector space property

$$\alpha_1\lambda_1^n + \alpha_2\lambda_2^n + \cdots + \alpha_k\lambda_k^n$$

is a solution for arbitrary values α_i.

The Homogenous Case

Lemma 6

Assume that the characteristic polynomial has k *distinct roots* $\lambda_1, \dots, \lambda_k$. *Then all solutions to the recurrence relation are of the form*

$$\alpha_1 \lambda_1^n + \alpha_2 \lambda_2^n + \cdots + \alpha_k \lambda_k^n \ .$$

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Proof.

There is one solution for every possible choice of boundary conditions for $T[1], \dots, T[k]$.

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Proof.

There is one solution for every possible choice of boundary conditions for $T[1], \dots, T[k]$.

We show that the above set of solutions contains one solution for every choice of boundary conditions.

The Homogenous Case

Proof (cont.).

Suppose I am given boundary conditions $T[i]$ and I want to see whether I can choose the $\alpha_i's$ such that these conditions are met:

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$$\alpha_1 \cdot \lambda_1 \quad + \quad \alpha_2 \cdot \lambda_2 \quad + \quad \cdots \quad + \quad \alpha_k \cdot \lambda_k \quad = \quad T[1]$$

The Homogenous Case

Proof (cont.).

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$$\begin{array}{ccccccccc} \alpha_1 \cdot \lambda_1 & + & \alpha_2 \cdot \lambda_2 & + & \cdots & + & \alpha_k \cdot \lambda_k & = & T[1] \\ \alpha_1 \cdot \lambda_1^2 & + & \alpha_2 \cdot \lambda_2^2 & + & \cdots & + & \alpha_k \cdot \lambda_k^2 & = & T[2] \end{array}$$

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$$
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\alpha_1 \cdot \lambda_1^k & + & \alpha_2 \cdot \lambda_2^k & + & \cdots & + & \alpha_k \cdot \lambda_k^k & = & T[k]
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Proof (cont.).

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We show that the column vectors are linearly independent. Then the above equation has a solution.

Computing the Determinant

$$\begin{vmatrix} \lambda_1 & \lambda_2 & \cdots & \lambda_{k-1} & \lambda_k \\ \lambda_1^2 & \lambda_2^2 & \cdots & \lambda_{k-1}^2 & \lambda_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ \lambda_1^k & \lambda_2^k & \cdots & \lambda_{k-1}^k & \lambda_k^k \end{vmatrix} =$$

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$$= \prod_{i=1}^{k} \lambda_i \cdot \begin{vmatrix} 1 & \lambda_1 & \cdots & \lambda_1^{k-2} & \lambda_1^{k-1} \\ 1 & \lambda_2 & \cdots & \lambda_2^{k-2} & \lambda_2^{k-1} \\ \vdots & \vdots & & \vdots & \vdots \\ 1 & \lambda_k & \cdots & \lambda_k^{k-2} & \lambda_k^{k-1} \end{vmatrix}$$

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$$
\begin{vmatrix}
1 & \lambda_1 & \cdots & \lambda_1^{k-2} & \lambda_1^{k-1} \\
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\vdots & \vdots & & \vdots & \vdots \\
1 & \lambda_k & \cdots & \lambda_k^{k-2} & \lambda_k^{k-1}
\end{vmatrix}
=
$$

$$
\begin{vmatrix}
1 & \lambda_1 - \lambda_1 \cdot 1 & \cdots & \lambda_1^{k-2} - \lambda_1 \cdot \lambda_1^{k-3} & \lambda_1^{k-1} - \lambda_1 \cdot \lambda_1^{k-2} \\
1 & \lambda_2 - \lambda_1 \cdot 1 & \cdots & \lambda_2^{k-2} - \lambda_1 \cdot \lambda_2^{k-3} & \lambda_2^{k-1} - \lambda_1 \cdot \lambda_2^{k-2} \\
\vdots & \vdots & & \vdots & \vdots \\
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$$\begin{vmatrix} 1 & 0 & \cdots & 0 & 0 \\ 1 & (\lambda_2 - \lambda_1) \cdot 1 & \cdots & (\lambda_2 - \lambda_1) \cdot \lambda_2^{k-3} & (\lambda_2 - \lambda_1) \cdot \lambda_2^{k-2} \\ \vdots & \vdots & & \vdots & \vdots \\ 1 & (\lambda_k - \lambda_1) \cdot 1 & \cdots & (\lambda_k - \lambda_1) \cdot \lambda_k^{k-3} & (\lambda_k - \lambda_1) \cdot \lambda_k^{k-2} \end{vmatrix}$$

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$$\prod_{i=2}^{k}(\lambda_i-\lambda_1)\cdot\begin{vmatrix} 1 & \lambda_2 & \cdots & \lambda_2^{k-3} & \lambda_2^{k-2} \\ \vdots & \vdots & & \vdots & \vdots \\ 1 & \lambda_k & \cdots & \lambda_k^{k-3} & \lambda_k^{k-2} \end{vmatrix}$$

Computing the Determinant

Repeating the above steps gives:

$$\begin{vmatrix} \lambda_1 & \lambda_2 & \cdots & \lambda_{k-1} & \lambda_k \\ \lambda_1^2 & \lambda_2^2 & \cdots & \lambda_{k-1}^2 & \lambda_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ \lambda_1^k & \lambda_2^k & \cdots & \lambda_{k-1}^k & \lambda_k^k \end{vmatrix} = \prod_{i=1}^{k} \lambda_i \cdot \prod_{i>\ell} (\lambda_i - \lambda_\ell)$$

Hence, if all λ_i's are different, then the determinant is non-zero.

The Homogeneous Case

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Suppose we have a root λ_i with multiplicity (Vielfachheit) at least 2. Then not only is λ_i^n a solution to the recurrence but also $n\lambda_i^n$.

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Suppose we have a root λ_i with multiplicity (Vielfachheit) at least 2. Then not only is λ_i^n a solution to the recurrence but also $n\lambda_i^n$.

To see this consider the polynomial

$$P[\lambda] \cdot \lambda^{n-k} = c_0\lambda^n + c_1\lambda^{n-1} + c_2\lambda^{n-2} + \cdots + c_k\lambda^{n-k}$$

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Since λ_i is a root we can write this as $Q[\lambda] \cdot (\lambda - \lambda_i)^2$. Calculating the derivative gives a polynomial that still has root λ_i.

This means

$$c_0 n \lambda_i^{n-1} + c_1 (n-1) \lambda_i^{n-2} + \cdots + c_k (n-k) \lambda_i^{n-k-1} = 0$$

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Hence,

$$c_0 \underbrace{n \lambda_i^{n}}_{T[n]} + c_1 \underbrace{(n-1) \lambda_i^{n-1}}_{T[n-1]} + \cdots + c_k \underbrace{(n-k) \lambda_i^{n-k}}_{T[n-k]} = 0$$

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Doing this again gives

$$c_0 n^2\lambda_i^n + c_1(n-1)^2\lambda_i^{n-1} + \cdots + c_k(n-k)^2\lambda_i^{n-k} = 0$$

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We can continue $j-1$ times.

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We can continue $j-1$ times.

Hence, $n^\ell\lambda_i^n$ is a solution for $\ell \in 0,\ldots,j-1$.

The Homogeneous Case

Lemma 7
Let $P[\lambda]$ denote the characteristic polynomial to the recurrence

$$c_0T[n] + c_1T[n-1] + \cdots + c_kT[n-k] = 0$$

Let λ_i, $i = 1, \ldots, m$ be the (complex) roots of $P[\lambda]$ with multiplicities ℓ_i. Then the general solution to the recurrence is given by

$$T[n] = \sum_{i=1}^{m} \sum_{j=0}^{\ell_i - 1} \alpha_{ij} \cdot (n^j \lambda_i^n) \ .$$

The full proof is omitted. We have only shown that any choice of α_{ij}'s is a solution to the recurrence.

Example: Fibonacci Sequence

$$T[0] = 0$$
$$T[1] = 1$$
$$T[n] = T[n-1] + T[n-2] \text{ for } n \geq 2$$

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Finding the roots, gives

$$\lambda_{1/2} = \frac{1}{2} \pm \sqrt{\frac{1}{4} + 1} = \frac{1}{2}\left(1 \pm \sqrt{5}\right)$$

Example: Fibonacci Sequence

Hence, the solution is of the form

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Hence, the solution is of the form

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$T[0] = 0$ gives $\alpha + \beta = 0$.

$T[1] = 1$ gives

$$\alpha\left(\frac{1+\sqrt{5}}{2}\right) + \beta\left(\frac{1-\sqrt{5}}{2}\right) = 1$$

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$$\alpha\left(\frac{1+\sqrt{5}}{2}\right)+\beta\left(\frac{1-\sqrt{5}}{2}\right)=1 \Longrightarrow \alpha-\beta=\frac{2}{\sqrt{5}}$$

Example: Fibonacci Sequence

Hence, the solution is

$$\frac{1}{\sqrt{5}}\left[\left(\frac{1+\sqrt{5}}{2}\right)^n-\left(\frac{1-\sqrt{5}}{2}\right)^n\right]$$

The Inhomogeneous Case

Consider the recurrence relation:

$$c_0 T(n) + c_1 T(n-1) + c_2 T(n-2) + \cdots + c_k T(n-k) = f(n)$$

with $f(n) \neq 0$.

While we have a fairly general technique for solving homogeneous, linear recurrence relations the inhomogeneous case is different.

The Inhomogeneous Case

The general solution of the recurrence relation is

$$T(n) = T_h(n) + T_p(n) \quad ,$$

where T_h is any solution to the homogeneous equation, and T_p is one particular solution to the inhomogeneous equation.

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$$T(n) = T_h(n) + T_p(n) \ ,$$

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There is no general method to find a particular solution.

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Subtracting the first from the second equation gives,

$$T[n] - T[n-1] = T[n-1] - T[n-2] \qquad (n \geq 2)$$

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I get a completely determined recurrence if I add $T[0] = 1$ and $T[1] = 2$.

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Example: Characteristic polynomial:

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$T[0] = 1$ gives $\alpha = 1$.

$T[1] = 2$ gives $1 + \beta = 2 \Longrightarrow \beta = 1$.

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Shift:

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$$T[n] = 3T[n-1] - 3T[n-2] + T[n-3] + 2$$

and so on...

6.4 Generating Functions

Definition 8 (Generating Function)

Let $(a_n)_{n\geq 0}$ be a sequence. The corresponding

- generating function (Erzeugendenfunktion) is

$$F(z) := \sum_{n\geq 0} a_n z^n \ ;$$

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- exponential generating function (exponentielle Erzeugendenfunktion) is

$$F(z) := \sum_{n\geq 0} \frac{a_n}{n!} z^n \quad .$$

6.4 Generating Functions

Example 9

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Let $f = \sum_{n\geq 0} a_n z^n$ and $g = \sum_{n\geq 0} b_n z^n$.

- **Equality:** f and g are equal if $a_n = b_n$ for all n.

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- **Multiplication:** $f \cdot g := \sum_{n\geq 0} c_n z^n$ with $c_n = \sum_{p=0}^{n} a_p b_{n-p}$.

There are no convergence issues here.

6.4 Generating Functions

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We view a power series as a function $f : \mathbb{C} \to \mathbb{C}$.

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Then, it is important to think about convergence/convergence radius etc.

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It means that the power series $1 - z$ and the power series $\sum_{n\geq 0} z^n$ are invers, i.e.,

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This is well-defined.

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Hence, the generating function of the sequence $a_n = n+1$ is $1/(1-z)^2$.

Formally the derivative of a formal power series $\sum_{n\geq 0} a_n z^n$ is defined as $\sum_{n\geq 0} n a_n z^{n-1}$.

The known rules for differentiation work for this definition. In particular, e.g. the derivative of $\frac{1}{1-z}$ is $\frac{1}{(1-z)^2}$.

Note that this requires a proof if we consider power series as algebraic objects. However, we did not prove this in the lecture.

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Hence, the generating function of the sequence $a_n = (n+1)(n+2)$ is $\frac{2}{(1-z)^3}$.

6.4 Generating Functions

Computing the k-th derivative of $\sum z^n$.

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Computing the k-th derivative of $\sum z^n$.

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\sum_{n\geq k} n(n-1)\cdot\ldots\cdot(n-k+1)z^{n-k} &= \sum_{n\geq 0}(n+k)\cdot\ldots\cdot(n+1)z^n \\
&= \frac{k!}{(1-z)^{k+1}}\ .
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Hence:

$$\sum_{n\geq 0}\binom{n+k}{k}z^n = \frac{1}{(1-z)^{k+1}} \; .$$

Computing the k-th derivative of $\sum z^n$.

$$\begin{aligned}\sum_{n\ge k} n(n-1)\cdot\ldots\cdot(n-k+1)z^{n-k} &= \sum_{n\ge 0}(n+k)\cdot\ldots\cdot(n+1)z^n \\ &= \frac{k!}{(1-z)^{k+1}}\ .\end{aligned}$$

Hence:

$$\sum_{n\ge 0}\binom{n+k}{k}z^n = \frac{1}{(1-z)^{k+1}}\ .$$

The generating function of the sequence $a_n = \binom{n+k}{k}$ is $\frac{1}{(1-z)^{k+1}}$.

6.4 Generating Functions

$$\sum_{n\geq 0} nz^n = \sum_{n\geq 0} (n+1)z^n - \sum_{n\geq 0} z^n$$

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$$\begin{aligned}\sum_{n\geq 0} nz^n &= \sum_{n\geq 0}(n+1)z^n - \sum_{n\geq 0} z^n \\ &= \frac{1}{(1-z)^2} - \frac{1}{1-z}\end{aligned}$$

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The generating function of the sequence $a_n = n$ is $\frac{z}{(1-z)^2}$.

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$$\sum_{n\geq 0} a^n z^n = \frac{1}{1-az}$$

The generating function of the sequence $f_n = a^n$ is $\frac{1}{1-az}$.

Example: $a_n = a_{n-1} + 1$, $a_0 = 1$

Suppose we have the recurrence $a_n = a_{n-1} + 1$ for $n \geq 1$ and $a_0 = 1$.

$$A(z)$$

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&= z \sum_{n\geq 0} a_n z^n + \sum_{n\geq 0} z^n \\
&= zA(z) + \sum_{n\geq 0} z^n \\
&= zA(z) + \frac{1}{1-z}
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Solving for $A(z)$ gives

$$\sum_{n\geq 0} a_n z^n = A(z) = \frac{1}{(1-z)^2} = \sum_{n\geq 0} (n+1) z^n$$

Hence, $a_n = n + 1$.

Some Generating Functions

n-th sequence element	generating function

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$\frac{1}{n!}$	e^z

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$f_{n-k} \quad (n \geq k);\quad 0$ otw.	$z^k F$

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$\sum_{i=0}^{n} f_i$	$\dfrac{F(z)}{1-z}$

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6. The coefficients of the resulting power series are the a_n.

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&= 1 + 3z \sum_{n\geq 0} a_n z^n + \sum_{n\geq 0} n z^n \\
&= 1 + 3zA(z) + \frac{z}{(1-z)^2}
\end{aligned}
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$$A(z) = \frac{(1-z)^2 + z}{(1-3z)(1-z)^2} = \frac{z^2 - z + 1}{(1-3z)(1-z)^2}$$

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5. Write $f(z)$ as a formal power series:

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This leads to the following conditions:

$$\begin{aligned} A + B + C &= 1 \\ 2A + 4B + 3C &= 1 \\ A + 3B &= 1 \end{aligned}$$

which gives

$$A = \frac{7}{4} \quad B = -\frac{1}{4} \quad C = -\frac{1}{2}$$

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&= \sum_{n \geq 0} \Big(\frac{7}{4} \cdot 3^n - \frac{1}{4} - \frac{1}{2}(n+1) \Big) z^n
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\end{aligned}$$

6. This means $a_n = \frac{7}{4} 3^n - \frac{1}{2} n - \frac{3}{4}$.

6.5 Transformation of the Recurrence

Example 10

$$f_0 = 1$$
$$f_1 = 2$$
$$f_n = f_{n-1} \cdot f_{n-2} \text{ for } n \geq 2 \,.$$

6.5 Transformation of the Recurrence

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Define

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g_n &= g_{n-1} + g_{n-2} \text{ for } n \geq 2 \\
g_1 &= \log 2 = 1 (\text{for } \log = \log_2),\ g_0 = 0 \\
g_n &= F_n \text{ (n-th Fibonacci number)}
\end{aligned}
$$

6.5 Transformation of the Recurrence

Example 10

$$
\begin{aligned}
f_0 &= 1 \\
f_1 &= 2 \\
f_n &= f_{n-1} \cdot f_{n-2} \text{ for } n \geq 2 \,.
\end{aligned}
$$

Define

$$g_n := \log f_n \,.$$

Then

$$
\begin{aligned}
g_n &= g_{n-1} + g_{n-2} \text{ for } n \geq 2 \\
g_1 &= \log 2 = 1 (\text{for } \log = \log_2),\ g_0 = 0 \\
g_n &= F_n \ (n\text{-th Fibonacci number}) \\
f_n &= 2^{F_n}
\end{aligned}
$$

6.5 Transformation of the Recurrence

Example 11

$$f_1 = 1$$
$$f_n = 3f_{\frac{n}{2}} + n; \text{ for } n = 2^k,\ k \geq 1\ ;$$

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Define

$$g_k := f_{2^k}\ .$$

Then:

$$g_0 = 1$$
$$g_k = 3g_{k-1} + 2^k,\ k \geq 1$$

6 Recurrences

We get

$$g_k = 3\left[g_{k-1}\right] + 2^k$$

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We get

$$\begin{aligned} g_k &= 3\left[g_{k-1}\right] + 2^k \\ &= 3\left[3g_{k-2} + 2^{k-1}\right] + 2^k \end{aligned}$$

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$$\begin{aligned} g_k &= 3\left[g_{k-1}\right] + 2^k \\ &= 3\left[3g_{k-2} + 2^{k-1}\right] + 2^k \\ &= 3^2\left[g_{k-2}\right] + 32^{k-1} + 2^k \end{aligned}$$

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$$
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g_k &= 3\left[g_{k-1}\right] + 2^k \\
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&= 3^2\left[3g_{k-3} + 2^{k-2}\right] + 32^{k-1} + 2^k \\
&= 3^3 g_{k-3} + 3^2 2^{k-2} + 32^{k-1} + 2^k \\
&= 2^k \cdot \sum_{i=0}^{k} \left(\frac{3}{2}\right)^i
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&= 3^3 g_{k-3} + 3^2 2^{k-2} + 32^{k-1} + 2^k \\
&= 2^k \cdot \sum_{i=0}^{k} \left(\frac{3}{2}\right)^i \\
&= 2^k \cdot \frac{(\frac{3}{2})^{k+1} - 1}{1/2}
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&= 3^3 g_{k-3} + 3^2 2^{k-2} + 32^{k-1} + 2^k \\
&= 2^k \cdot \sum_{i=0}^{k} \left(\frac{3}{2}\right)^i \\
&= 2^k \cdot \frac{(\frac{3}{2})^{k+1} - 1}{1/2} = 3^{k+1} - 2^{k+1}
\end{aligned}
$$

6 Recurrences

Let $n = 2^k$:

$$g_k = 3^{k+1} - 2^{k+1}, \text{ hence}$$
$$f_n = 3 \cdot 3^k - 2 \cdot 2^k$$

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6 Recurrences

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