On the Number of Distinct Squares

Frantisek (Franya) Franek

Advanced Optimization Laboratory Department of Computing and Software McMaster University, Hamilton, Ontario, Canada

Invited talk - Prague Stringology Conference 2014



On the Number of Distinct Squares

Outline





- Basic notions and tools
- 4 Double squares
- 5 Inversion factors
- 6 Fraenkel-Simpson (FS) double squares
 - 7 FS-double squares: upper bound
- 8 Main results
 - Onclusion



Introduction

objects of our research:

- finite strings over a finite alphabet A
- required to have only = and \neq defined for elements of \mathcal{A}

what is the maximum number of distinct squares problem ?

counting types of squares rather than their occurrences:



6 occurrences of squares, but 4 distinct squares: aa, aabaab, abaaba, and baabaa

On the Number of Distinct Squares

research of periodicities is an active field

a deceptively similar problem of determining the maximum number of runs

occurrences of maximal (fractional) repetitions are counted

shown recently using the notion of Lyndon roots by Bannai et al. to be *bounded by the length of the string*



On the Number of Distinct Squares

Basic concepts

x is primitive $\iff x \neq y^p$ for any string y and any integer $p \ge 2$

Ex: <u>aab aab</u> is not primitive while <u>aabaaba</u> is

primitive root of *x*: the smallest *y* s.t. $x = y^p$ for some integer $p \ge 1$ (*is unique and primitive*)

 u^2 is primitively rooted $\iff u$ is a primitive string

x and y are *conjugates* if x = uv and y = vu for some u, v

 $x \triangleleft y \iff x$ is a proper prefix of y (i.e. $x \neq y$)

On the Number of Distinct Squares

Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

・ロト ・回ト ・ヨト ・ヨト

at most $O(n \log n)$ distinct squares

at most $O(\log n)$ squares can start at the same position



could it be O(n)? what would be the constant?

why this is not simple?



On the Number of Distinct Squares

easy to compute for short strings, why not recursion?



concatenation

"destroys" multiply occurring existing types (aa, aabaab)

"creates" new types (abaaba, baabaa)

On the Number of Distinct Squares

Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

∢ ≣⇒

History

1994 Fraenkel and SimpsonHow Many Squares Must a Binary Sequence Contain?45 citations

what is the value of g(k) = the longest binary word containing at most *k* distinct squares?

g(0) = 3, g(1) = 7, g(2) = 18 and $g(k) = \infty, k \ge 3$

motivated by the classic problem of combinatorics on words going all the way back to *Thue*: avoidance of patterns *an infinite ternary word avoiding squares*



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

イロン イヨン イヨン イヨン

Fraenkel and *Simpson* introduced the term distinct squares for different types (or *shapes*) of squares

significant part of the paper – a construction of an infinite binary word containing only 3 distinct squares

focused on binary words as *Thue*'s result made the question irrelevant for larger alphabets

natural inversion of the question for all finite alphabets:

what is a number of distinct squares in a word ?



On the Number of Distinct Squares

1998 *Fraenkel* and *Simpson* provided first non-trivial upper bound in How Many Squares Can a String Contain? 77 citations

Theorem

There are at most 2n distinct squares in a string of length n.

- count only the rightmost occurrences
- show that if there are three rightmost squares u² ⊲ v² ⊲ w², then w² contains a farther occurrence of u²
 based on Crochemore and Rytter 1995 Lemma: |w| ≥ |u| + |v|



1998 *Fraenkel* and *Simpson* provided first non-trivial upper bound in How Many Squares Can a String Contain? 77 citations

Theorem

There are at most 2n distinct squares in a string of length n.

- count only the rightmost occurrences
- show that if there are three rightmost squares u² ⊲ v² ⊲ w², then w² contains a farther occurrence of u²
 based on Crochemore and Rytter 1995 Lemma: |w| ≥ |u| + |v|



Crochemore and *Rytter*: $u^2 \triangleleft v^2 \triangleleft w^2$ all primitively rooted, then $|u| + |v| \leq |w|$

 u^2 substring of the first $w \Rightarrow u^2$ substring of the second $w \Rightarrow u^2$ cannot be rightmost

however u^2 , v^2 and w^2 are rightmost and not primitively rooted

checking the details of the *Crochemore* and *Rytter*'s proof, *Fraenkel* and *Simpson* noted that only the primitiveness of *u* needed

most of their proof is thus devoted to the case when u^2 is not primitively rooted





Fraenkel and *Simpson*'s result follows directly from it (*u*, *v*, and *w* have the same primitive root \Rightarrow *u*² not rightmost)

2005 *Ilie* simpler proof not using *Crochemore* and *Rytter*'s lemma (*almost proved the generalized lemma*)



On the Number of Distinct Squares

Fraenkel and Simpson further hypothesized that

 $\sigma(n) < n$

 $\sigma(n) = \max \{ s(x) : x \text{ is a string of length } n \}$ s(x) = number of distinct squares in x

and gave an infinite sequence of strings $\{x_n\}_{n=1}^{\infty}$ s.t.

$$|x_n| \nearrow \infty$$
 and $\frac{s_p(x_n)}{|x_n|} \nearrow 1$

 $s_p(x)$ = number of distinct primitively rooted squares in x



On the Number of Distinct Squares

2007 Ilie gives an asymptotic upper bound $2n - \theta(\log n)$

key idea – the last rightmost square of x must start way before the last position of x:

we saw this picture before: reversing it yields $\theta(\log n)$



On the Number of Distinct Squares

2011 *Deza* and *F* proposed a *d*-step approach and conjectured

 $\sigma_d(n) \leq n - d$

 $\sigma_d(n) = \max \{ s(x) : |x| = n \text{ with } d \text{ distinct symbols } \}$

- addresses dependence of the problem on the size of the alphabet
- is amenable to computational induction

up-to-date table of determined values:

http://optlab.mcmaster.ca/~jiangm5/research/square.html



On the Number of Distinct Squares



On the Number of Distinct Squares

Lam (2013, preprint 2009)

claimed a universal upper bound $\sigma(n) \leq \frac{95}{48}n \approx 1.98n$

obtained by bounding # double squares and assuming at most single square everywhere else

double square = pair of rightmost squares starting at the same position

bounding of # double squares based on a complete taxonomy of mutual configurations of 2 or more double squares

is the taxonomy complete and sound ?

イロン イヨン イヨン イヨン

Deza, F., and Thierry

in How many double squares can a string contain? (to appear in Discrete Applied Mathematics)

followed Lam's approach

to further investigate the structural and combinatorial

properties of double squares, resulting in

$$\sigma(n) \leq \frac{11}{6}n \approx 1.83n$$

presented today



On the Number of Distinct Squares

Basic notions and tools

Lemma (Synchronization Principle)

Given a primitive string x, a proper suffix y of x, a proper prefix z of x, and $m \ge 0$, there are exactly m occurrences of x in yx^mz .





On the Number of Distinct Squares

Lemma (Common Factor Lemma)

For any strings x and y, if a non-trivial power of x and a non-trivial power of y have a common factor of length |x|+|y|, then the primitive roots of x and y are conjugates.

In particular, if x and y are primitive, then x and y are conjugates.

Note that both x and y must repeat at least twice

really a folklore, but proofs given in Two squares canonical factorization, PSC 2014, by *Bai*, *F*, and *Smyth*

On the Number of Distinct Squares

Double squares

a configuration of two *proportional* squares u^2 and U^2



has been investigated in many different contexts:



On the Number of Distinct Squares

- *Smyth et al.*: with intention to find a position for amortization argument for runs conjecture
- in computational framework by *Deza-F.-Jiang*: such configurations are used in *Liu*'s PhD thesis to speed up computation of σ_d(n)
- Lam: two rightmost squares form a particular structure

hence the following notation



On the Number of Distinct Squares

- a *double square* (u, U) in a string x is a configuration of two squares u² and U² in x starting at the same position where |u| < |U|
- a double square (u, U) in x is balanced in x if u and U are proportional, i.e. |U| < 2|u|
- a balanced double square (u, U) in x is *factorizable* if either u is primitive, or U is primitive, or u² is rightmost in U²
- a double square (u, U) in x is a FS-double square in x if both u² and U² are the rightmost occurrences in x



- (u, U) is a double square (balanced, factorizable) in x & x a factor in y ⇒ double square (balanced, factorizable) in y
- (u, U) is a FS-double square in x & x a factor in y ⇒ may not be FS-double square in y, unless x is a suffix of y
- (u, U) is a FS-double square in x ⇒ balanced in x (if (u, U) not balanced, then u² is factor of U and hence a farther occurrence of u²)
- (u, U) a FS-double square in $x \Rightarrow$ factorizable in x



Lemma

For a factorizable double square (u, U) there is a unique primitive string \mathbf{u}_1 , a unique non-trivial proper prefix \mathbf{u}_2 of u_1 , and unique integers \mathbf{e}_1 and \mathbf{e}_2 satisfying $1 \le \mathbf{e}_2 \le \mathbf{e}_1$ such that $\mathbf{u} = \mathbf{u}_1^{\mathbf{e}_1}\mathbf{u}_2$ and $\mathbf{U} = \mathbf{u}_1^{\mathbf{e}_1}\mathbf{u}_2\mathbf{u}_1^{\mathbf{e}_2}$.

a generalization by Bai, F., Smyth will be presented in a contributed talk

```
notation: (u, U : u_1, u_2, e_1, e_2)
```

 \overline{u}_2 is defined as a suffix of u_1 so that $u_1 = u_2 \overline{u}_2$



for a factorizable double square $U = (u, U : u_1, u_2, e_1, e_2)$ simplified notation:

 e_1 is denoted as $\mathcal{U}(1)$ end e_2 is denoted as $\mathcal{U}(2)$

Ex: for a factorizable double square \mathcal{V} , the **shorter square** is v^2 , the **longer square** is V^2 , and $(v, V : v_1, v_2, v_{(1)}, v_{(2)})$, $v_1 = v_2 \overline{v}_2$ and $\tilde{v}_1 = \overline{v}_2 v_2$



On the Number of Distinct Squares

Structure of a factorizable double square

$$u_1^{\mathcal{U}(1)} u_2 u_1^{\mathcal{U}(2)} u_1^{\mathcal{U}(1)} u_2 u_1^{\mathcal{U}(2)}$$



only strings of length at least 10 may contain a factorizable double square:

$$|U^2| = 2((U(1)+U(2))|u_1|+|u_2|) \ge 2((1+1)2+1) = 10$$

On the Number of Distinct Squares



right cyclic shift is determined by $lcp(u_1, \tilde{u}_1)$

left cyclic shift is determined by $lcs(u_1, \tilde{u}_1)$

```
lcp = largest common prefix
lcs = largest common suffix
```



On the Number of Distinct Squares

$$u_1 = aaabaa, u_2 = aaab, \overline{u}_2 = aa, u(1) = u(2) = 2$$





Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

$$u_1 = aaabaa, u_2 = aaab, \overline{u}_2 = aa, u(1) = 2, and u(2) = 1$$



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

Inversion factors

Definition

For a double square U, $\overline{v}vv\overline{v}$ where $|\overline{v}| = |\overline{u}_2|$ and $|v| = |u_2|$ is an *inversion factor*

$$\mathcal{U} = u_1^{\mathcal{U}(1)} u_2 u_1^{\mathcal{U}(2) + \mathcal{U}(1)} u_2 u_1^{\mathcal{U}(2)} =$$

$$u_{1}^{(\mathcal{U}(1)-1)}u_{2}\overline{u}_{2}u_{2}u_{2}\overline{u}_{2}u_{1}^{\mathcal{U}(2)+\mathcal{U}(1)-2}u_{2}\overline{u}_{2}u_{2}u_{2}\overline{u}_{2}u_{1}^{(\mathcal{U}(2)-1)}$$

$$N_{1} \qquad N_{2}$$
natural inversion factors

$$N_{1} \qquad N_{2}$$

On the Number of Distinct Squares

a cyclic shift of an inversion factor is an inversion factor determined by $lcp(u_1, \tilde{u}_1)$ and $lcs(u_1, \tilde{u}_1)$





Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

all inversion factors are cyclic shifts of the natural ones:

Lemma (Inversion factor lemma)

Given a factorizable double square \mathcal{U} , there is an inversion factor of \mathcal{U} within the string U^2 starting at position $i \iff i \in [L_1, R_1] \cup [L_2, R_2]$.



On the Number of Distinct Squares

FS-double squares

Theorem (Fraenkel and Simpson, Ilie)

At most 2 rightmost squares can start at the same position.

assume 3 rightmost squares $u^2 \triangleleft U^2 \triangleleft v^2$ (u, U) is a factorizable double square so ($u, U : u_1, u_2, e_1, e_2$) first v contains an inversion factor, so second v must also contain an inversion factor if it were from [L_2, R_2], then |v| = |U|, a contradiction so $u_1^{\mathcal{U}(1)} u_2 u_1^{\mathcal{U}(1) + \mathcal{U}(2) - 1} u_2$ must be a prefix of v v^2 contains another occurrence of $u_1^{\mathcal{U}(1)} u_2 u_1^{\mathcal{U}(1)} u_2 = u^2$, a contradiction

イロン イヨン イヨン イヨン

FS-double squares

Theorem (Fraenkel and Simpson, Ilie)

At most 2 rightmost squares can start at the same position.

assume 3 rightmost squares $u^2 \triangleleft U^2 \triangleleft v^2$ (u, U) is a factorizable double square so ($u, U : u_1, u_2, e_1, e_2$) first v contains an inversion factor, so second v must also contain an inversion factor if it were from [L_2, R_2], then |v| = |U|, a contradiction so $u_1^{\mathcal{U}(1)}u_2u_1^{\mathcal{U}(1)+\mathcal{U}(2)-1}u_2$ must be a prefix of v v^2 contains another occurrence of $u_1^{\mathcal{U}(1)}u_2u_1^{\mathcal{U}(1)}u_2 = u^2$, a contradiction

key observation:

Lemma

Let x be a string starting with a FS-double square \mathcal{U} . Let \mathcal{V} be a FS-double square with s(U) < s(V), then either (a) $\mathfrak{s}(\mathcal{V}) < R_1(\mathcal{U})$, in which case either (a₁) \mathcal{V} is an α -mate of \mathcal{U} (cyclic shift), or (a_2) V is a β -mate of U (cyclic shift of U to V), or (a_3) V is a γ -mate of U (cyclic shift of U to v), or (a₄) \mathcal{V} is a δ -mate of \mathcal{U} (big tail), or (b) $R_1(\mathcal{U}) < \mathfrak{s}(\mathcal{V})$, then (b₁) \mathcal{V} is a ε -mate of \mathcal{U} (big gap).

On the Number of Distinct Squares

Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

イロン イヨン イヨン イヨン

α -mate (cyclic shift):



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

β -mate (cyclic shift of U to V)



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

γ -mate (cyclic shift of *U* to *v*)





Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic



On the Number of Distinct Squares

ε -mate (big gap)



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

FS-double squares: upper bound

we show by induction that # FS-double squares $\delta(x)$ satisfies

$$\delta(x) \leq \frac{5}{6}|x| - \frac{1}{3}|u|$$

where u^2 is the shorter square of the leftmost FS-double square of *x*

	u	и		Т
G	V		V	

the fundamental observation lemma basically states that either

- δ -mate and gap G is "big", or
- ε -mate and tail *T* is "big", or
- α -mate or β -mate or γ -mate



Lemma (Gap-Tail lemma)

$$\delta(x') \leq \frac{5}{6}|x'| - \frac{1}{3}|v| \text{ implies}$$

$$\delta(x) \leq \frac{5}{6}|x| - \frac{1}{3}|u| + h - \frac{1}{2}|G(\mathcal{U}, \mathcal{V})| - \frac{1}{3}|T(\mathcal{U}, \mathcal{V})|$$

On the Number of Distinct Squares

Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

McMaste

we deal with α -mates, β -mates, and γ -mates in a special way

which is possible as they form families

- α -family, or
- $\alpha + \beta$ -family, or
- $\alpha + \beta + \gamma$ -family



On the Number of Distinct Squares

\mathcal{U} -family consists only of α -mates

illustration of an α -family with $\mathcal{U}(1) = \mathcal{U}(2)$



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

illustration of an α -family with $\mathcal{U}(1) > \mathcal{U}(2)$



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

easy to bound the size of α -family, as it is determined by $lcp(u_1, \tilde{u}_1)$: $|\alpha$ -family| $\leq |u_1|$

- either there are no other FS-double squares, and then it can be shown directly that the bound holds, or
- there is a \mathcal{V} underneath:

 \mathcal{V} must be either γ -mate, or δ -mate, or ε -mate, and the Gap-Tail lemma can be applied to propagate the bound



On the Number of Distinct Squares

\mathcal{U} -family consists of α -mates and β -mates

illustration of an $\alpha + \beta$ -family



Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

more complicated to bound the size of $\alpha + \beta$ -family:

$$|\alpha + \beta \text{-family}| \le \begin{cases} \left\lceil \frac{\mathcal{U}(1) - \mathcal{U}(2)}{2} \right\rceil |u_1| & \text{if } \mathcal{U}(2) = 1\\ \\ \frac{\mathcal{U}(1) - \mathcal{U}(2)}{2} |u_1| & \text{if } \mathcal{U}(2) > 1 \end{cases}$$

- either there are no other FS-double squares, and then it can be shown directly that the bound holds, or
- there is a \mathcal{V} underneath:

 \mathcal{V} must be either δ -mate, or ε -mate, and the Gap-Tail lemma can be applied to propagate the bound *Special* care needed for ε -mate case and super- ε -mate must be put in play !

\mathcal{U} -family consists of α -mates, β -mates, and γ -mates

illustration of an $\alpha + \beta + \gamma$ -family

[][)(]) type	
aabaabaabaabaabaabaabaabaabaabaabaabaab	
abaabaabaabaabaabaabaabaabaabaabaabaaba	
aabaabaabaabaabaabaabaabaabaabaabaabaab	
<u>abaabaabaabaabaabaabaabaabaabaabaaba</u> 4 2 < end of β-segment	
aabaabaabaabaabaabaabaabaabaabaabaabaab	
abaabaabaabaabaabaabaabaabaabaabaabaaba	
b <u>aabaabaabaabaabaabaabaabaabaabaabaabaa</u>	
aabaabaabaabaabaabaabaabaabaabaabaabaab	
abaabaabaabaabaabaabaabaabaabaabaabaaba	
baabaabaabaabaabaabaabaabaabaabaabaabaa	
aabaabaabaabaabaabaabaabaabaabaabaabaab	
aba <u>a</u> abaabaabaabaabaabaabaabaabaabaabaabaab	
baaabaabaabaabaabaabaaabaabaabaabaabaab	
	McMaster Manned

On the Number of Distinct Squares

R.

Invited talk: PSC 2014, Czech Technical University, Prague, Czech Republic

< ∃→

2

it is quite complex to bound the size of $\alpha + \beta + \gamma$ -family:

```
|\alpha + \beta + \gamma-family| \le \frac{2}{3} (\mathcal{U}(1) + 1) |u_1|
```

- either there are no other FS-double squares, and then it can be shown directly that the bound holds, or
- there is a \mathcal{V} :

 \mathcal{V} must be either δ -mate, or ε -mate, and the Gap-Tail lemma can be applied to propagate the bound



On the Number of Distinct Squares

Main results

Theorem

There are at most $\lfloor 5n/6 \rfloor$ FS-double squares in a string of length *n*.

Corollary

There are at most $\lfloor 11n/6 \rfloor$ distinct squares in a string of length *n*.



On the Number of Distinct Squares

Conclusion

- We presented a universal upper bound of ¹¹ⁿ/₆ for the maximum number of distinct squares in a string of length n
- A universal upper bound of $\frac{5n}{6}$ for the maximum number of FS-double squares in a string of length *n*
- It improves the universal bound of 2*n* by *Fraenkel* and *Simpson*
- It improves the asymptotic bound of $2n \Theta(\log n)$ by Ilie
- The combinatorics of double squares is interesting on its own and may be applicable to other problems

・ロト ・回ト ・ヨト ・ヨト

THANK YOU



On the Number of Distinct Squares

A. Deza and F. Franek

A *d*-step approach to the maximum number of distinct squares and runs in strings *Discrete Applied Mathematics*, 2014

- - A. Deza, F. Franek, and A. Thierry How many double squares can a string contain? to appear in Discrete Applied Mathematics
- A. Deza, F. Franek, and M. Jiang
 A computational framework for determining square-maximal strings
 Proceedings of the Prague Stringology Conference, 2012
- A.S. Fraenkel and J. Simpson How Many Squares Must a Binary Sequence Contain? The Electronic Journal of Combinatorics, 1995

On the Number of Distinct Squares

- A.S. Fraenkel and J. Simpson How many squares can a string contain? Journal of Combinatorial Theory, Series A, 1998
- F. Franek, R.C.G. Fuller, J. Simpson, and W.F. Smyth More results on overlapping squares *Journal of Discrete Algorithms*, 2012

L. Ilie

A simple proof that a word of length *n* has at most 2*n* distinct squares

Journal of Combinatorial Theory, Series A, 2005

🔒 L. Ilie

A note on the number of squares in a word

Theoretical Computer Science, 2007



On the Number of Distinct Squares

E. Kopylova and W.F. Smyth The three squares lemma revisited Journal of Discrete Algorithms, 2012

🔋 N. H. Lam

On the number of squares in a string AdvOL-Report 2013/2, McMaster University, 2013

M. J. Liu

Combinatorial optimization approaches to discrete problems

PhD thesis, Department of Computing and Software, McMaster University, 2013



On the Number of Distinct Squares