

Catalan Numbers

Richard P. Stanley

March 25, 2020

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$C_0 = 1, C_1 = 2, C_2 = 3, C_3 = 5, C_4 = 14, \dots$

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Comments. ... This is probably the longest entry in OEIS, and rightly so.

Catalan monograph

R. Stanley, *Catalan Numbers*, Cambridge University Press, 2015.

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R. Stanley, *Catalan Numbers*, Cambridge University Press, 2015.

Includes 214 combinatorial interpretations of C_n and 68 additional problems.

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History

Sharabiin Myangat, also known as **Minggatu**, **Ming'antu** (明安图), and **Jing An** (c. 1692–c. 1763): a Mongolian astronomer, mathematician, and topographic scientist who worked at the Qing court in China.

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No combinatorics, no further work in China.

Ming'antu



Manuscript of Ming'antu

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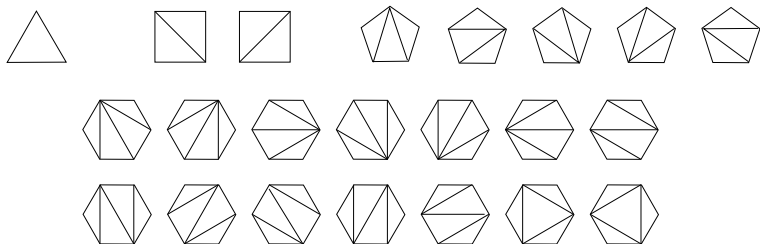
Manuscript of Ming'antu

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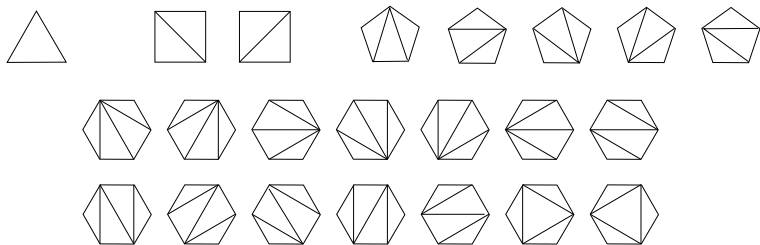
More history, via Igor Pak

- **Euler** (1751): conjectured formula for the number of triangulations of a convex $(n + 2)$ -gon. In other words, draw $n - 1$ noncrossing diagonals of a convex polygon with $n + 2$ sides.



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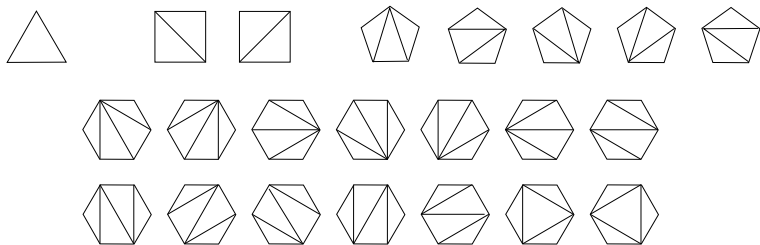
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1, 2, 5, 14, ...

We **define** these numbers to be the Catalan numbers C_n .

Completion of proof

- **Goldbach and Segner** (1758–1759): helped Euler complete the proof, in pieces.
- **Lamé** (1838): first self-contained, complete proof.

Catalan

- **Eugène Charles Catalan** (1838): wrote C_n in the form $\frac{(2n)!}{n!(n+1)!}$ and showed it counted (nonassociative) **bracketings** (or **parenthesizations**) of a string of $n + 1$ letters.

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Born in 1814 in Bruges (now in Belgium, then under Dutch rule). Studied in France and worked in France and Liège, Belgium. Died in Liège in 1894.

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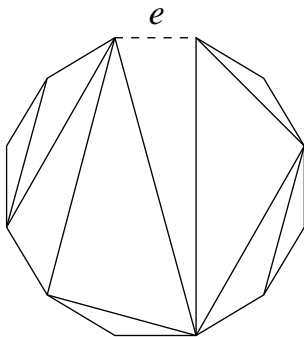
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- **Martin Gardner** (1976): used the term in his Mathematical Games column in *Scientific American*. Real popularity began.

The primary recurrence

$$C_{n+1} = \sum_{k=0}^n C_k C_{n-k}, \quad C_0 = 1$$

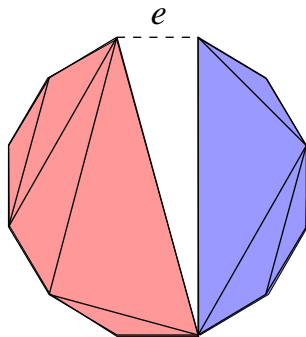
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Solving the recurrence

$$C_{n+1} = \sum_{k=0}^n C_k C_{n-k}, \quad C_0 = 1$$

Let $y = \sum_{n \geq 0} C_n x^n$ (**generating function**).

$$\begin{aligned} \Rightarrow \frac{y-1}{x} &= y^2 \\ \Rightarrow y &= \frac{1 - \sqrt{1-4x}}{2x} \\ &= -\frac{1}{2} \sum_{n \geq 1} (-4)^n \binom{-1/2}{n} x^{n-1} \end{aligned}$$

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$$C_n = \frac{1}{n+1} \binom{2n}{n} = \frac{(2n)!}{n!(n+1)!}$$

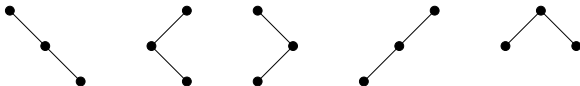
Other combinatorial interpretations

$$\begin{aligned}\mathcal{P}_n &:= \{\text{triangulations of convex } (n+2)\text{-gon}\} \\ \Rightarrow \#\mathcal{P}_n &= C_n \text{ (where } \#S = \text{number of elements of } S\text{)}\end{aligned}$$

We want other combinatorial interpretations of C_n , i.e., other sets \mathcal{S}_n for which $C_n = \#\mathcal{S}_n$.

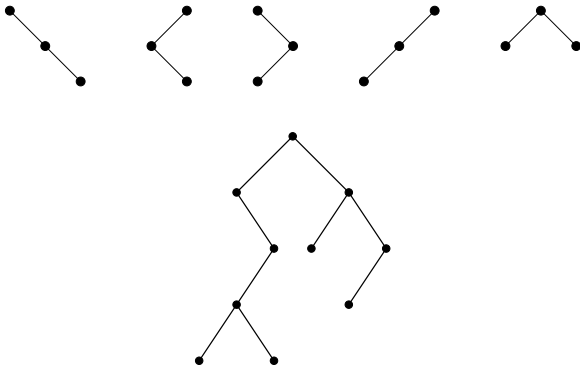
“Transparent” interpretations

4. **Binary trees** with n vertices (each vertex has a left subtree and a right subtree, which may be empty)



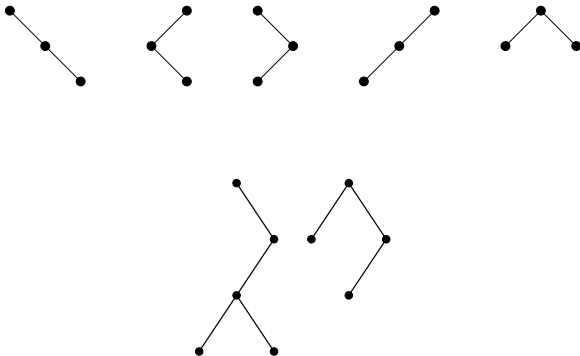
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Binary parenthesizations

3. Binary **parenthesizations** or **bracketings** of a string of $n + 1$ letters

$$(xx \cdot x)x \quad x(xx \cdot x) \quad (x \cdot xx)x \quad x(x \cdot xx) \quad xx \cdot xx$$

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The ballot problem

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Special case: there are two candidates A and B in an election. Each receives n votes. What is the probability that A will never trail B during the count of votes?

Example. $AABABBBBAAB$ is bad, since after seven votes, A receives 3 while B receives 4.

Definition of ballot sequence

Encode a vote for A by 1, and a vote for B by -1 (abbreviated $-$). Clearly a sequence $a_1 a_2 \cdots a_{2n}$ of n each of 1 and -1 is allowed if and only if $\sum_{i=1}^k a_i \geq 0$ for all $1 \leq k \leq 2n$. Such a sequence is called a **ballot sequence**.

Ballot sequences

77. Ballot sequences, i.e., sequences of n 1's and n -1's such that every partial sum is nonnegative (with -1 denoted simply as - below)

111 - - - 11 - 1 - - 11 - -1 - 1 - 11 - - 1 - 1 - 1 -

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Note. Answer to original problem (probability that a sequence of n each of 1's and -1 's is a ballot sequence) is therefore

$$\frac{C_n}{\binom{2n}{n}} = \frac{\frac{1}{n+1} \binom{2n}{n}}{\binom{2n}{n}} = \frac{1}{n+1}.$$

The ballot recurrence

1 1 - 1 1 - 1 - - - 1 - 1 1 - 1 - -

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1 1 - 1 1 - 1 - - - 1 - 1 1 - 1 - -

1 1 - 1 1 - 1 - - - | 1 - 1 1 - 1 - -

The ballot recurrence

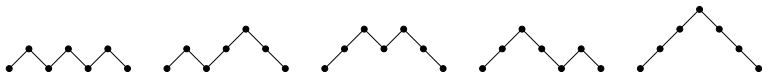
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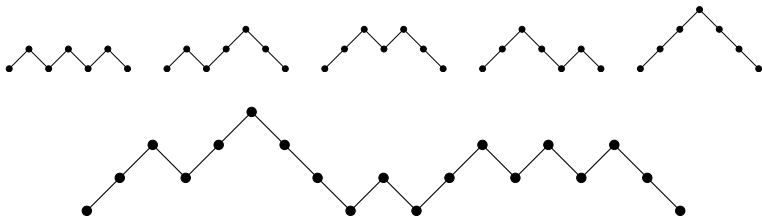
Dyck paths

25. **Dyck paths** of length $2n$, i.e., lattice paths from $(0,0)$ to $(2n,0)$ with steps $(1,1)$ and $(1,-1)$, never falling below the x-axis



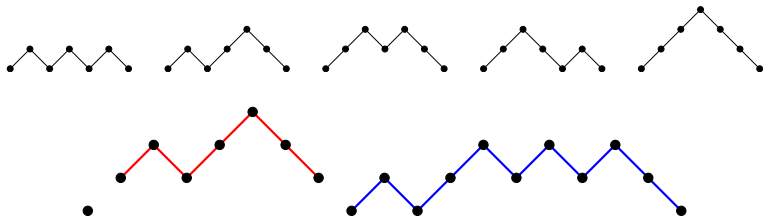
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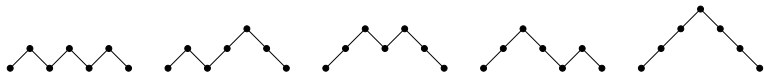
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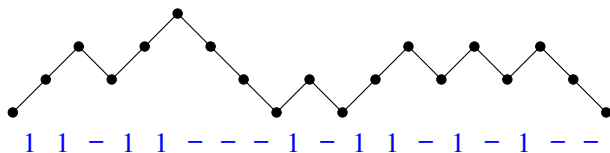
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Walther von Dyck (1856–1934)



Bijection with ballot sequences



For each upstep, record 1.

For each downstep, record -1 .

312-avoiding permutations

116. Permutations $a_1 a_2 \cdots a_n$ of $1, 2, \dots, n$ for which there does not exist $i < j < k$ and $a_j < a_k < a_i$ (called **312-avoiding** permutations)

123 132 213 231 321

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3425 768 (note **red** < **blue**)

part of the subject of **pattern avoidance**

321-avoiding permutations

Another example of pattern avoidance:

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123 213 132 312 231

321-avoiding permutations

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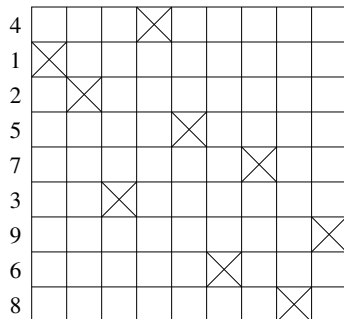
more subtle: no obvious decomposition into two pieces

Bijection with ballot sequences

$$w = 412573968$$

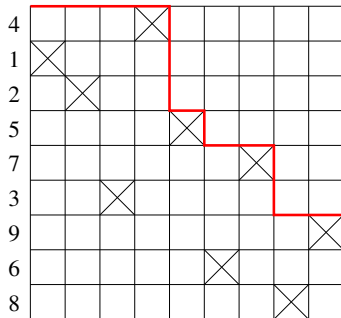
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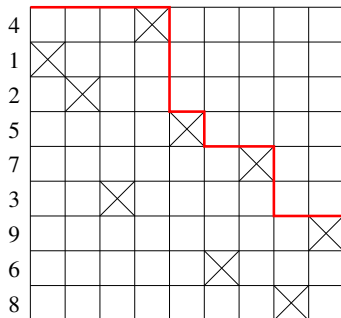
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1111 - - - 1 - 11 - - 11 - - -

An unexpected interpretation

92. n -tuples (a_1, a_2, \dots, a_n) of integers $a_i \geq 2$ such that in the sequence $1a_1a_2 \cdots a_n1$, each a_i divides the sum of its two neighbors

14321 13521 13231 12531 12341

Bijection with ballot sequences

remove largest; insert bar before the element to its left; continue until only 1's remain; then replace bar with 1 and an original number with -1 , except last two

1 2 5 3 4 1

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|1||2 5|3 4 1

	1			2	5		3	4	1
1	-	1	1	-	-	1	-		

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$$|1||2\ 5|3\ 4\ 1$$

$$\begin{array}{cccccccc} | & 1 & | & | & 2 & 5 & | & 3 & 4 & 1 \\ 1 & - & 1 & 1 & - & - & 1 & - & & \end{array}$$

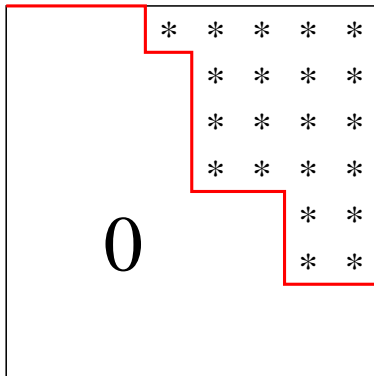
tricky to prove

A8. Algebraic interpretations

(a) Number of two-sided ideals of the algebra of all $(n - 1) \times (n - 1)$ upper triangular matrices over a field

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A symmetric group representation

Dimension of the irreducible representation of \mathfrak{S}_{2n-1} indexed by the partition $(n, n-1)$, and of \mathfrak{S}_{2n} indexed by (n, n) .

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Is there a “natural” action of \mathfrak{S}_{2n-1} and/or \mathfrak{S}_{2n} on the space $\mathbb{Q}X$, where X is some family of Catalan objects indexed by $2n-1$ and/or $2n$?

Diagonal harmonics

(i) Let the symmetric group \mathfrak{S}_n act on the polynomial ring $A = \mathbb{C}[x_1, \dots, x_n, y_1, \dots, y_n]$ by $w \cdot f(x_1, \dots, x_n, y_1, \dots, y_n) = f(x_{w(1)}, \dots, x_{w(n)}, y_{w(1)}, \dots, y_{w(n)})$ for all $w \in \mathfrak{S}_n$. Let I be the ideal generated by all invariants of positive degree, i.e.,

$$I = \langle f \in A : w \cdot f = f \text{ for all } w \in \mathfrak{S}_n, \text{ and } f(0) = 0 \rangle.$$

Diagonal harmonics (cont.)

Then C_n is the dimension of the subspace of A/I affording the sign representation, i.e.,

$$C_n = \dim\{f \in A/I : w \cdot f = (\text{sgn } w)f \text{ for all } w \in \mathfrak{S}_n\}.$$

Diagonal harmonics (cont.)

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Very deep proof by **Mark Haiman**, 1994.

Generalizations & refinements

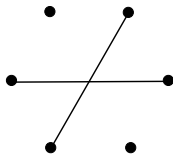
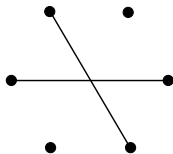
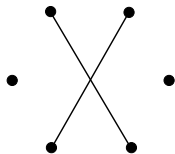
A12. k -triangulation of n -gon: maximal collections of diagonals such that no $k + 1$ of them pairwise intersect in their interiors

$k = 1$: an ordinary triangulation

superfluous edge: an edge between vertices at most k steps apart (along the boundary of the n -gon). They appear in all k -triangulations and are irrelevant.

An example

Example. 2-triangulations of a hexagon (superfluous edges omitted):



Some theorems

Theorem (Nakamigawa, Dress-Koolen-Moulton). *All k -triangulations of an n -gon have $k(n - 2k - 1)$ nonsuperfluous edges.*

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Theorem (Jonsson, Serrano-Stump). *The number $T_k(n)$ of k -triangulations of an n -gon is given by*

$$\begin{aligned} T_k(n) &= \det [C_{n-i-j}]_{i,j=1}^k \\ &= \prod_{1 \leq i < j \leq n-2k} \frac{2k + i + j - 1}{i + j - 1}. \end{aligned}$$

Representation theory?

Note. The number $T_k(n)$ is the dimension of an irreducible representation of the symplectic group $\mathrm{Sp}(2n - 4)$.

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Is there a direct connection?

Number theory

A61. Let $b(n)$ denote the number of 1's in the binary expansion of n . Using Kummer's theorem on binomial coefficients modulo a prime power, show that the exponent of the largest power of 2 dividing C_n is equal to $b(n+1) - 1$.

Sums of three squares

Let $f(n)$ denote the number of integers $1 \leq k \leq n$ such that k is the sum of three squares (of nonnegative integers). Well-known:

$$\lim_{n \rightarrow \infty} \frac{f(n)}{n} = \frac{5}{6}.$$

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Analysis

A65.(b)

$$\sum_{n \geq 0} \frac{1}{C_n} = ??$$

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$$\sum_{n \geq 0} \frac{1}{C_n} = 2 + \frac{4\sqrt{3}\pi}{27}$$

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$$2 + \frac{4\sqrt{3}\pi}{27} = 2.806133\dots$$

Why?

A65.(a)

$$\sum_{n \geq 0} \frac{x^n}{C_n} = \frac{2(x+8)}{(4-x)^2} + \frac{24\sqrt{x} \sin^{-1}\left(\frac{1}{2}\sqrt{x}\right)}{(4-x)^{5/2}}.$$

Why?

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Based on a (difficult) calculus exercise: let

$$y = 2 \left(\sin^{-1} \frac{1}{2} \sqrt{x} \right)^2.$$

Then $y = \sum_{n \geq 1} \frac{x^n}{n^2 \binom{2n}{n}}$. Use $\sin^{-1} x = \sum_{n \geq 0} 4^{-n} \binom{2n}{n} \frac{x^{2n+1}}{2n+1}$.

Completion of proof

Recall $y = \sum_{n \geq 1} \frac{x^n}{n^2 \binom{2n}{n}}$. Note that:

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Completion of proof

Recall $y = \sum_{n \geq 1} \frac{x^n}{n^2 \binom{2n}{n}}$. Note that:

$$\begin{aligned} \frac{d}{dx} x^2 \frac{d}{dx} x \frac{dx}{x} y &= \sum_{n \geq 1} \frac{(n+1)x^n}{\binom{2n}{n}} \\ &= -1 + \sum_{n \geq 0} \frac{x^n}{C_n}, \end{aligned}$$

etc.

What's next?

Next topic: Euler numbers