Bounded Dyck paths, bounded alternating sequences, and reciprocity laws

Johann Cigler and Christian Krattenthaler

Universität Wien

- Classical Enumerative Combinatorics
- Bounded Dyck Paths and Bounded Alternating Sequences
- Reciprocity Laws
- Non-Intersecting Lattice Paths
- Theory of Heaps

Reciprocity Laws

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Informally speaking, a (combinatorial) reciprocity $law^{\mathbb{C}}$ refers to the following:

We are given a sequence $(a_n)_{n\geq 0}$, where a_n is the number of certain objects of "size" n. If it is somehow possible to make sense of a_n for negative n and it should happen that a_n for negative n has also a combinatorial meaning, then we speak of a (combinatorial) reciprocity law.

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Example: Ehrhart Reciprocity. Given a polytope \mathcal{P} in \mathbb{R}^d all of whose vertices have integer coordinates, let $i(\mathcal{P}, n) := |n\mathcal{P} \cap \mathbb{Z}^d|$ and $\overline{i}(\mathcal{P}, n) := |n\mathcal{P}^o \cap \mathbb{Z}^d|$. Then $i(\mathcal{P}, n)$ is a polynomial in n and $\overline{i}(\mathcal{P}, n) = (-1)^d i(\mathcal{P}, -n)$.

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Let the generating function of the sequence $(a_n)_{n\geq 0}$ be a rational function of the form

$$f(x) = \frac{p(x)}{q(x)} = \sum_{n \ge 0} a_n x^n,$$

where p(x) and q(x) are polynomials with $\deg(p(x)) < \deg(q(x))$. If $q(x) = \sum_{i=0}^{d} q_i x^i$, then the sequence $(a_n)_{n\geq 0}$ satisfies the reurrence

$$q_0a_n+q_1a_{n-1}+\cdots+q_da_{n-d}=0.$$

Hence, $(a_n)_{n\geq 0}$ can be extended to negative *n*. It is not difficult to see that

$$\sum_{n\geq 1}a_{-n}x^n=-f(1/x).$$

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Number of bounded Dyck paths with negative length as Hankel determinants

Asked 8 days ago Active 6 days ago Viewed 150 times

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This is a continuation of my post <u>Number of bounded Dyck paths</u> with "negative length".

Let $C_n^{(2k+1)}$ be the number of Dyck paths of semilength *n* bounded by 2k + 1. They satisfy a recursion of order 2k + 1.

Let $C_{-n}^{(2k+1)}$ be the numbers obtained by extending the sequence $C_n^{(2k+1)}$ to negative *n* using this recursion.

Computations suggest that this extension can also be obtained via Hankel determinants:

$$C_{-n}^{(2k+1)} = \det \left(C_{n+1+i+j}^{(2k+1)} \right)_{i,j=0}^{k-1}$$

For k = 1 this reduces to $C_{-n}^{(3)} = C_{n+1}^{(3)}$. This can easily be verified since the sequence $(\dots 34, 13, 5, 2|1, 1, 2, 5, 13, 34, \dots$ satisfies a(n) - 3a(n-1) + a(n-2) = 0.

For k = 2 we get the sequence Johann Cigler and Christian Krattenthaler



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If f(n) satisfies a linear recurrence with constant coefficients for all $n \in \mathbb{Z}$ and we set $F(x) = \sum_{n \ge 0} f(n)x^n$, then $\sum_{n \ge 1} f(-n)x^n = -F(1/x)$ (as rational functions). See *Enumerative Combinatorics*, vol. 1, second ed., Prop. 4.2.3.



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Addendum. Using Exercise 3.66(d) in *Enumerative Combinatorics*, vol. 1, second ed., it is not hard to show that c(-n, k) is equal to the number of sequences $(a_1, a_2, ..., a_{2n-1})$ of positive integers satisfying $1 \le a_i \le k + 1$ and $a_1 \le a_2 \ge a_3 \le a_4 \ge \cdots \ge a_{2n-1}$.

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edited Sep 29 at 23:07

answered Sep 26 at 14:21



Thank you very much. Is there a combinatorial interpretation of the numbers c(-n, k) related to Dyck paths? – Johann Cigler Sep 26 at 15-08

Let $C_{2n}^{(k)}$ denote the number of paths with steps (1,1) and (1,-1) starting at (0,0) and ending at (2n,0) never passing below the *x*-axis and never passing above the horizontal line y = k. The figure shows one of the 122 such paths for n = 6 and k = 4.



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Let $\mathcal{A}_n^{(k)}$ denote the set of alternating sequences

$$a_1 \leq a_2 \geq a_3 \leq a_4 \geq \cdots \diamond a_{n-1} \Box a_n,$$

where $\diamond = \ge$ and $\Box = \le$ if *n* is even and $\diamond = \le$ and $\Box = \ge$ if *n* is odd, in which all a_i 's are integers between 1 and $k_{i} \ge 1$.

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Cigler conjectures

$$\det\left(C_{2n+2i+2j+2}^{(2k+1)}\right)_{0\leq i,j\leq k-1} = C_{-2n}^{(2k+1)}$$

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Stanley observes and provides an argument for the relation

$$|\mathcal{A}_{2n-1}^{(k+1)}| = C_{-2n}^{(2k+1)}$$

$$C_{-2n}^{(2k+1)} = \det \left(C_{2n+2+2i+2j}^{(2k+1)} \right)_{0 \le i,j \le k-1}.$$

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$$C_{-2n}^{(2k+1)} = \det \left(C_{2n+2+2i+2j}^{(2k+1)} \right)_{0 \le i,j \le k-1}.$$

I asked Cigler: "What if we lift the upper bound on the paths? Do we then also get determinants on the left-hand side?"

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I asked Cigler: "What if we lift the upper bound on the paths? Do we then also get determinants on the left-hand side?"

Cigler (next day): "Yes. Here is the — conjectured — formula:

$$\det\left(C_{-2n-2i-2j}^{(2k+2m-1)}\right)_{0\leq i,j\leq m-1} = \det\left(C_{2n+2i+2j+4m-2}^{(2k+2m-1)}\right)_{0\leq i,j\leq k-1}$$

Non-intersecting Lattice Paths

A family (P_1, P_2, \ldots, P_k) of paths P_i is called non-intersecting if no two paths of the family have a vertex in common.



Non-intersecting Lattice Paths

Theorem (Karlin–McGregor, Lindström, Gessel–Viennot, Fisher, John–Sachs, Gronau–Just–Schade–Scheffler–Wojciechowski)

Let G be an acyclic, directed graph, and let $A_1, A_2, ..., A_n$ and $E_1, E_2, ..., E_n$ be vertices in the graph with the property that, for i < j and k < l, any (directed) path from A_i to E_l intersects with any path from A_j to E_k . Then the number of families $(P_1, P_2, ..., P_n)$ of non-intersecting (directed) paths, where the *i*-th path P_i runs from A_i to E_i , i = 1, 2, ..., n, is given by

 $\det_{1 \le i,j \le n} (|\mathcal{P}(A_j \to E_i)|),$ where $\mathcal{P}(A \to E)$ denotes the set of paths from A to E.

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Remark

There holds as well a *weighted* version, in which every edge e is assigned a *weight* w(e), and where the weight of a path (family) \mathcal{P} is defined as the product $\prod_{e \in \mathcal{P}} w(e)$, with the product running over all edges in the path (family).













Let $C_n^{(k)}(r \to s)$ denote the *number* of up-down paths from (0, r) to (n, s) that do not pass below the x-axis and do not pass above the horizontal line y = k.

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Theorem (Folklore/Viennot 1983)

For all non-negative integers r, s, k with $0 \le r, s \le k$, we have

$$\sum_{n\geq 0} C_n^{(k)}(r\to s) x^n = \begin{cases} \frac{U_r(1/2x) U_{k-s}(1/2x)}{x U_{k+1}(1/2x)}, & \text{if } r \leq s, \\ \frac{U_s(1/2x) U_{k-r}(1/2x)}{x U_{k+1}(1/2x)}, & \text{if } r \geq s, \end{cases}$$

where $U_m(x)$ denotes the m-th Chebyshev polynomial of the second kind.

The *m*-th Chebyshev polynomial of the second kind, $U_m(x)$, is given by

$$egin{aligned} U_m(\cos heta) &= rac{\sin((m+1) heta)}{\sin heta}, \ U_m(x) &= \sum_{j\geq 0} (-1)^j \binom{m-j}{j} (2x)^{m-2j}. \end{aligned}$$

They satisfy the two-term recurrence

$$2xU_m(x) = U_{m+1}(x) + U_{m-1}(x),$$

with initial conditions $U_0(x) = 1$ and $U_1(x) = 2x$.

Generating Functions for Bounded Up-Down Paths

Let $C_n^{(k)}(r \to s)$ denote the *number* of up-down paths from (0, r) to (n, s) that do not pass below the x-axis and do not pass above the horizontal line y = k.

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where $U_m(x)$ denotes the m-th Chebyshev polynomial of the second kind.

This can be proved by means of the transfer-matrix method or by means of the theory of heaps.

Generating Functions for Alternating Sequences

Let $\mathcal{A}_n^{(k)}(r \to s)$ denote the *set* of alternating sequences

$$r \leq a_2 \geq a_3 \leq a_4 \geq \cdots \diamond a_{n-1} \Box s$$
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where $\diamond = \ge$ and $\Box = \le$ if *n* is even and $\diamond = \le$ and $\Box = \ge$ if *n* is odd, in which all a_i 's are integers between 1 and *k*.

Theorem (C., K.)

For all positive integers r, s, k with $1 \le r, s \le k$, we have

$$\begin{split} \sum_{n\geq 0} \big| \mathcal{A}_{2n+1}^{(k)}(r \to s) \big| x^{2n} \\ &= \begin{cases} (-1)^{r+s+1} \frac{x \mathcal{U}_{2r-2}(x/2) \mathcal{U}_{2k+1-2s}(x/2)}{\mathcal{U}_{2k}(x/2)}, & \text{if } r < s, \\ 1 - \frac{x \mathcal{U}_{2r-2}(x/2) \mathcal{U}_{2k+1-2r}(x/2)}{\mathcal{U}_{2k}(x/2)}, & \text{if } r = s, \\ (-1)^{r+s+1} \frac{x \mathcal{U}_{2s-2}(x/2) \mathcal{U}_{2k+1-2r}(x/2)}{\mathcal{U}_{2k}(x/2)}, & \text{if } r > s. \end{cases} \end{split}$$

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Theorem (C., K.)

For all positive integers r, s, k with $1 \le r, s \le k$, we have

$$\begin{split} \sum_{n\geq 0} \big| \mathcal{A}_{2n+2}^{(k)}(r \to s) \big| x^{2n+1} \\ &= \begin{cases} (-1)^{r+s+1} \frac{xU_{2r-2}(x/2)U_{2k-2s}(x/2)}{U_{2k}(x/2)}, & \text{if } r \leq s, \\ (-1)^{r+s+1} \frac{xU_{2s-1}(x/2)U_{2k-2r+1}(x/2)}{U_{2k}(x/2)}, & \text{if } r > s. \end{cases} \end{split}$$

Theory of Heaps

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Theory of Heaps

A heap of segments on [1, k] is a pile of segments i-j, with $1 \le i \le j \le k$, allowing multiple pieces of the same kind.



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Every segment i-j is assigned the weight $w_{i,j}$. The weight w(H) of a heap H is by definition the product of all the weights of its segments.

Thus,

$$w(H_1) = w_{0,1} w_{0,0}^2 w_{1,3} w_{4,4} w_{5,6} w_{6,6} w_{7,7}$$

and

$$w(H_2) = w_{1,2}w_{2,3}w_{2,2}w_{3,6}w_{5,5}.$$

Let S_k denote the set of segments i-j with $1 \le i \le j \le k$.



Here, a *trivial heap* is one in which any two of its segments "commute" with each other.

A segment in a heap H is called maximal if it "lies" on top of H and could be moved up vertically without being blocked by any other piece.



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Dyck paths and alternating sequences

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Lemma

Let n, k, r, s be non-negative integers with $1 \le r \le s \le k$. There is a bijection between $\mathcal{A}_{2n+1}^{(k)}(r \to s)$ and heaps H of n segments on [1, k] with the following two properties:

• H has a maximal segment of the form j-s.

It does not have any maximal segments that are contained in [1, r - 1] or [s + 1, k].

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Let n, k, r, s be non-negative integers with $1 \le r \le s \le k$. There is a bijection between $\mathcal{A}_{2n+1}^{(k)}(r \to s)$ and heaps H of n segments on [1, k] with the following two properties:

• H has a maximal segment of the form j-s.

It does not have any maximal segments that are contained in [1, r - 1] or [s + 1, k].

Define the weight of a segment to be x^2 (i.e., $w_{i,j} := x^2$), and define the weight of an alternating sequence of length *n* to be x^n . Then the above bijection is weight-preserving in the sense that the weight of an alternating sequence equals *x* times the weight of the corresponding heap.

Recall:



A Bijection between Alternating Sequences and Heaps

Lemma

Let k be a non-negative integer. The generating function $\sum_{T} (-1)^{|T|} w(T)$, where the sum is over all trivial heaps T of segments on [1, k], is given by $(-1)^k U_{2k}(x/2)$.

A Bijection between Alternating Sequences and Heaps

Lemma

Let k be a non-negative integer. The generating function $\sum_{T} (-1)^{|T|} w(T)$, where the sum is over all trivial heaps T of segments on [1, k], is given by $(-1)^k U_{2k}(x/2)$.

Lemma

Let r, s, k be positive integers with $1 \le r \le s \le k$. The sum of generating functions

$$\sum_{j=s}^{k} x^{2} \sum_{\substack{T \text{ trivial} \\ T \subseteq [1,r-1] \cup [j+1,k]}} (-1)^{|T|} w(T)$$

is given by

$$(-1)^{k+r+s+1} x U_{2r-2}(x/2) U_{2k+1-2s}(x/2).$$

Theorem (C., K.)

For all positive integers r, s, k with $1 \le r, s \le k$, we have

$$\sum_{n\geq 0} |\mathcal{A}_{2n+1}^{(k)}(r \to s)| x^{2n} = \begin{cases} (-1)^{r+s+1} \frac{xU_{2r-2}(x/2)U_{2k+1-2s}(x/2)}{U_{2k}(x/2)}, & r < s, \\ 1 - \frac{xU_{2r-2}(x/2)U_{2k+1-2r}(x/2)}{U_{2k}(x/2)}, & r = s, \\ (-1)^{r+s+1} \frac{xU_{2s-2}(x/2)U_{2k+1-2r}(x/2)}{U_{2k}(x/2)}, & r > s. \end{cases}$$

and

$$\sum_{n\geq 0} |\mathcal{A}_{2n+2}^{(k)}(r \to s)| x^{2n+1} = \begin{cases} (-1)^{r+s+1} \frac{xU_{2r-2}(x/2)U_{2k-2s}(x/2)}{U_{2k}(x/2)}, & r \leq s, \\ (-1)^{r+s+1} \frac{xU_{2s-1}(x/2)U_{2k-2r+1}(x/2)}{U_{2k}(x/2)}, & r > s. \end{cases}$$

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Reciprocity

Recall:

Theorem (Folklore/Viennot 1983)

For all non-negative integers r, s, k with $0 \le r, s \le k$, we have

$$\sum_{n\geq 0} C_n^{(k)}(r\to s) x^n = \begin{cases} \frac{U_r(1/2x) U_{k-s}(1/2x)}{x U_{k+1}(1/2x)}, & \text{if } r\leq s, \\ \frac{U_s(1/2x) U_{k-r}(1/2x)}{x U_{k+1}(1/2x)}, & \text{if } r\geq s, \end{cases}$$

where $U_m(x)$ denotes the m-th Chebyshev polynomial of the second kind.

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where $U_m(x)$ denotes the m-th Chebyshev polynomial of the second kind.

Furthermore, if
$$f(x) = \frac{p(x)}{q(x)} = \sum_{n \ge 0} a_n x^n$$

is rational with deg(p(x)) < deg(q(x)), then

$$\sum_{n\geq 1}a_{-n}x^n=-f(1/x).$$

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Corollary

Let n, k, r, s be positive integers with $1 \le r, s \le k$. The number $(-1)^{r+s}C_{-2n}^{(2k-1)}(2r-2 \rightarrow 2s-2)$ equals $|\mathcal{A}_{2n+1}^{(k)}(r \rightarrow s)|$ Furthermore, the number $(-1)^{r+s}C_{-2n+1}^{(2k-1)}(2r-2 \rightarrow 2s-1)$ equals $|\mathcal{A}_{2n}^{(k)}(r \rightarrow s)|$.

Corollary

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Corollary

For positive integers n and k, the number $C_{-2n}^{(2k-1)}$ equals $|\mathcal{A}_{2n-1}^{(k)}|$.

Remember:

I asked Cigler: "What if we lift the upper bound on the paths? Do we then also get determinants on the left-hand side?"

Cigler (next day): "Yes. Here is the — conjectured — formula:

$$\det\left(C_{-2n-2i-2j}^{(2k+2m-1)}\right)_{0\leq i,j\leq m-1} = \det\left(C_{2n+2i+2j+4m-2}^{(2k+2m-1)}\right)_{0\leq i,j\leq k-1}.$$



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Example for
$$n = 2$$
, $k = 4$, $m = 3$:
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Apparently:

The number of trapezoidal arrays of integers of the form

 $a_{1,2m-1}$... $a_{1,2n+2m-3}$

			$a_{m-2,5}$		• •	$a_{m-2,M-5}$			
	a _{m-1,3}	a _{m-1,4}	a _{m-1,5}			$a_{m-1,M-5}$	$a_{m-1,M-4}$	$a_{m-1,M-3}$	
$a_{m,1} a_{m,2}$	a _{m,3}	a _{m,4}	a _{m,5}		• •	$a_{m,M-5}$	$a_{m,M-4}$	$a_{m,M-3}$	$a_{m,M-2}$ $a_{m,M-1}$

where M = 2n + 4m - 4, in which each row is alternating, that satisfy

$$1 \le a_{i,j} \le k+m$$

and

$$a_{i+1,2j} < a_{i,2j+1} > a_{i+1,2j+2}$$

is equal to

$$\det\left(C^{(2k+2m-1)}_{-2n-2i-2j}\right)_{0\leq i,j\leq m-1}$$

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Theorem (C., K.)

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			a _{m-2,5}	 a _{m-2,M-5}				
	a _{m-1} ,	3 a _{m-1,4}	$a_{m-1,5}$	 a _{m-1,M-5}	$a_{m-1,M-4}$	$a_{m-1,M-3}$		
a _{m,1} a _m	2 a _{m,3}	a _{m,4}	a _{m,5}	 a _{m,M-5}	$a_{m,M-4}$	$a_{m,M-3}$	a _{m,M−2} a _m	M-1

where M = 2n + 4m - 4, in which each row is alternating, that satisfy

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$$a_{i+1,2j} < a_{i,2j+1} > a_{i+1,2j+2}$$

is equal to

$$\det\left(\left|\mathcal{A}_{2n+2i+2j-1}^{(k+m)}\right|\right)_{0\leq i,j\leq m-1}$$

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Sketch of proof. We use again non-intersecting lattice paths, however in a different manner. The directed graph that we need here is of the following form:





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Theorem (C., K.)

For all non-negative integers n, k, m, we have

$$\det \left(C^{(2k+2m-1)}_{2n+2i+2j+4m-2} \right)_{0 \le i,j \le k-1} = \det \left(C^{(2k+2m-1)}_{-2n-2i-2j} \right)_{0 \le i,j \le m-1}.$$

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Let n, k, m be positive integers, and let $r_0 < r_1 < \cdots < r_{k-1}$ and $s_0 < s_1 < \cdots < s_{k-1}$ be sequences of positive integers with $1 \le r_i, s_i \le k + m$ for all i. Then

$$\begin{split} \det \left(C_{2n}^{(2k+2m-1)}(2r_i-2 \to 2s_j-2) \right)_{0 \le i,j \le k-1} \\ &= (-1)^{\sum_{i=0}^{m-1}(\bar{r}_i+\bar{s}_i)} \det \left(C_{-2n}^{(2k+2m-1)}(\bar{r}_i \to \bar{s}_j) \right)_{0 \le i,j \le m-1}, \end{split}$$

where

$$\{\bar{r}_0, \bar{r}_1, \dots, \bar{r}_{m-1}\} = \{1, 2, \dots, k\} \setminus \{r_0, r_1, \dots, r_{k-1}\}, \\ \{\bar{s}_0, \bar{s}_1, \dots, \bar{s}_{m-1}\} = \{1, 2, \dots, k\} \setminus \{s_0, s_1, \dots, r_{k-1}\}.$$



Johann Cigler and Christian Krattenthaler Dy

Dyck paths and alternating sequences

Let n, k, m be positive integers, and let $r_0 < r_1 < \cdots < r_{k-1}$ and $s_0 < s_1 < \cdots < s_{k-1}$ be sequences of positive integers with $1 \le r_i, s_i \le k + m$ for all *i*. The number of rectangular arrays of integers of the form

$a_{1,1}$	$a_{1,2}$	• • •	$a_{1,2n+1}$
$a_{2,1}$	a _{2,2}		$a_{2,2n+1}$

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 $a_{m,1} \quad a_{m,2} \quad \dots \quad a_{m,2n+1}$ where $a_{i,1} = \overline{r}_i$ and $a_{i,2n+1} = \overline{s}_i$ for all i, in which each row is alternating, and in which we have

 $1 \leq a_{i,j} \leq k+m$

and

$$a_{i+1,2j} < a_{i,2j+1} > a_{i+1,2j+2},$$

is equal to

$$\det\left(\left|\mathcal{A}_{2n+1}^{(k+m)}(r_i \to s_j)\right|\right)_{0 \le i,j \le m-1}$$

Here,

$$\{\bar{r}_0, \bar{r}_1, \dots, \bar{r}_{m-1}\} = \{1, 2, \dots, k+m\} \setminus \{r_0, r_1, \dots, r_{k-1}\},\\ \{\bar{s}_0, \bar{s}_1, \dots, \bar{s}_{m-1}\} = \{1, 2, \dots, k+m\} \setminus \{s_0, s_1, \dots, r_{k-1}\}.$$

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For all non-negative integers n, k, m, we have

$$\det\left(D_{2n+2j-2i}^{(2k+2m-1)}\right)_{0\leq i,j\leq k-1} = (-1)^{km}\det\left(D_{-2n-2j+2i-2k-2m}^{(2k+2m-1)}\right)_{0\leq i,j\leq m-1}$$

Here, $D_{2n}^{(k)}$ is short for $C_{2n+k}^{(k)}(0
ightarrow k).$

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Let n, k, m be non-negative integers. The number of rhomboidal arrays of integers of the form

where M = 2m + 2n, in which each row is alternating, that satisfy

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Johann Cigler and Christian Krattenthaler Dyck paths and alternating sequences

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- Enumeration results for "alternating tableaux"

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- Several further conjectures ...