# SLC81 (KrattenthalerFest)

Some multivariate master polynomials for permutations, set partitions, and perfect matchings, and their continued fractions <sup>a</sup>

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> > Strobl, September 9 - 12 2018

<sup>&</sup>lt;sup>a</sup>Based on joint work with Alan Sokal

# Plan of the talk

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#### 2 Permutations: Statements of results

four-variable generalizations (S-fractions)

- p, q-generalizations (J-fractions)
- Master polynomials (J-fractions)
- 3 Set partitions: Statements of results
- 4 Perfect matchings
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## Introduction

If  $(a_n)_{n\geq 0}$  is a sequence of combinatorial numbers or polynomials with  $a_0 = 1$ , it is often fruitful to seek to express its ordinary generating function as a continued fraction of either Stieltjes (S) type,

$$\sum_{n=0}^{\infty} a_n t^n = \frac{1}{1 - \frac{\alpha_1 t}{1 - \frac{\alpha_2 t}{1 - \cdots}}},$$

or Jacobi (J) type,

$$\sum_{n=0}^{\infty} a_n t^n = \frac{1}{1 - \gamma_0 t - \frac{\beta_1 t^2}{1 - \gamma_1 t - \frac{\beta_2 t^2}{1 - \cdots}}}$$

# Contraction formulae of an S-fraction to a J-fraction

$$\frac{1}{1-\frac{\alpha_1 x}{1-\frac{\alpha_2 x}{\dots}}} = \frac{1}{1-\alpha_1 x - \frac{\alpha_1 \alpha_2 x^2}{1-(\alpha_2 + \alpha_3)x - \frac{\alpha_3 \alpha_4 x^2}{\dots}}}.$$

i.e., the above S-fraction and J-fraction are equal if

$$\begin{aligned} \gamma_0 &= \alpha_1 \\ \gamma_n &= \alpha_{2n} + \alpha_{2n+1} \quad \text{for} \quad n \geq 1 \\ \beta_n &= \alpha_{2n-1} \alpha_{2n}. \end{aligned}$$

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This line of investigation, i.e.

## $(a_n) \mapsto (\alpha_n) (or ((\gamma_n), (\beta_n))),$

goes back at least to Euler, but it gained impetus following Flajolet's seminal discovery that any *S*-type (resp. *J*-type) continued fraction can be interpreted combinatorially as a generating function of Dyck (resp. Motzkin) paths with suitable weights for each rise and fall (resp. each rise, fall and level step).

Our approach will be (in part) to run this program in reverse: we start from a continued fraction in which the coefficients  $\alpha$  (or  $\gamma$  and  $\beta$ ) contain indeterminates in a nice pattern, and we attempt to find a combinatorial interpretation for the resulting polynomials  $a_n$  – namely, as enumerating permutations, set partitions or perfect matchings to some natural maultivariate statistics. We call our  $a_n$  "master polynomials" because our CF will contain

the maximum number of independent inderterminates consistent with the given pattern.

## Permutations: S-fraction

Euler



with coefficients  $\alpha_{2k-1} = k$ ,  $\alpha_{2k} = k$ .

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## A four-variable generalization

Introduce the polynomials  $P_n(x, y, u, v)$  by the following CF

$$\sum_{n\geq 0} P_n(x, y, u, v)t^n = \frac{1}{1 - \frac{x t}{1 - \frac{y t}{1 - \frac{(x+u)t}{1 - \frac{(y+v)t}{1 - \frac{(y+v)t}{1 - \cdots}}}}}$$

with coefficients

$$\alpha_{2k-1} = x + (k-1)u$$
  $\alpha_{2k} = y + (k-1)v.$ 

Clearly  $P_n(x, y, u, v)$  is a homogeneous polynomial of degree *n* and  $P_n(1, 1, 1, 1) = n!$ .

Given a permutation  $\mathfrak{S}_n$ , an index  $i \in [n]$  (or value  $\sigma(i) \in [n]$ ) is called a

- record (rec) (or left-to-right maximum) if  $\sigma(j) < \sigma(i)$  for all j < i;
- antirecord (arec) (or right-to-left minimum) if  $\sigma(j) > \sigma(i)$  for all j > i;

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- antirecord (arec) (or right-to-left minimum) if  $\sigma(j) > \sigma(i)$  for all j > i;
- exclusive record (erec) if it is a record and not also an antirecord;
- exclusive antirecord (earec) if it is an antirecord and not also a record;
- record-antirecord (rar) if it is both a record and an antirecord;
- neither-record-antirecord (nrar) if it is neither a record nor an antirecord.

# Cycle classification

We say that an index  $i \in [n]$  is a

- cycle peak (cpeak) if  $\sigma^{-1}(i) < i > \sigma(i)$ ;
- cycle valley (cval) if  $\sigma^{-1}(i) > i < \sigma(i)$ ;
- cycle double rise (cdrise) if  $\sigma^{-1}(i) < i < \sigma(i)$ ;
- cycle double fall (cdfall) if  $\sigma^{-1}(i) > i > \sigma(i)$ ;

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• fixed point (fix) if  $\sigma^{-1}(i) = i = \sigma(i)$ .

# Cycle classification

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- cycle peak (cpeak) if  $\sigma^{-1}(i) < i > \sigma(i)$ ;
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- cycle double rise (cdrise) if  $\sigma^{-1}(i) < i < \sigma(i)$ ;
- cycle double fall (cdfall) if  $\sigma^{-1}(i) > i > \sigma(i)$ ;
- fixed point (fix) if  $\sigma^{-1}(i) = i = \sigma(i)$ .

We denote the number of cycles, records, antirecords, ... in  $\sigma$  by  $cyc(\sigma)$ ,  $rec(\sigma)$ ,  $arec(\sigma)$ , ..., respectively. A rougher classification is that an index  $i \in [n]$  (or value  $\sigma(i)$ ) is an

- excedance (exc) if  $\sigma(i) > i$ ;
- anti-excedance (aexc) if  $\sigma(i) < i$ ;
- fixed point (fix) if  $\sigma(i) = i$ .

#### Theorem 1 (S-fraction for permutations)

The polynomials defined by the S-fraction have the combinatorial interpretations

$$P_n(x, y, u, v) = \sum_{\sigma \in \mathfrak{S}_n} x^{\operatorname{arec}(\sigma)} y^{\operatorname{erec}(\sigma)} u^{n - \operatorname{exc}(\sigma) - \operatorname{arec}(\sigma)} v^{\operatorname{exc}(\sigma) - \operatorname{erec}(\sigma)}$$
(1)

and

$$P_n(x, y, u, v) = \sum_{\sigma \in \mathfrak{S}_n} x^{\operatorname{cyc}(\sigma)} y^{\operatorname{erec}(\sigma)} u^{n - \operatorname{exc}(\sigma) - \operatorname{cyc}(\sigma)} v^{\operatorname{exc}(\sigma) - \operatorname{erec}(\sigma)}.$$
(2)

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# Special cases (1)

$$P_n(x, yv, 1, v) = \sum_{\sigma \in \mathfrak{S}_n} x^{\operatorname{arec}(\sigma)} y^{\operatorname{erec}(\sigma)} v^{\operatorname{exc}(\sigma)}$$
$$= \sum_{\sigma \in \mathfrak{S}_n} x^{\operatorname{cyc}(\sigma)} y^{\operatorname{erec}(\sigma)} v^{\operatorname{exc}(\sigma)}.$$

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The triple statistics (arec, erec, exc) and (cyc, erec, exc) are equidistributed on  $\mathfrak{S}_n$ .

# Special cases (2)

The Stirling cycle polynomials

$$P_n(x,1,1,1) = \sum_{k=0}^n s(n,k) x^k = x(x+1) \dots (x+n-1).$$

or their homogenized version

$$P_n(x, y, y, y) = \sum_{k=0}^n s(n, k) x^k y^{n-k} = x(x+y) \dots (x+(n-1)y).$$

The Eulerian polynomials

$$P_n(1, y, 1, y) = A_n(y) = \sum_{k=0}^n A(n, k) y^k$$

or

$$P_n(x, y, x, y) = A_n(x, y) = \sum_{k=0}^n A(n, k) x^{n-k} y^k.$$

The record-antirecord permutation polynomials

$${\sf P}_n(a,b,1,1) = \sum_{\sigma \in \mathfrak{S}_n} a^{{\sf arec}(\sigma)} b^{{\sf erec}(\sigma)}$$

or

$${\sf P}_n({\sf a},{\sf b},{\sf c},{\sf c}) = \sum_{\sigma\in\mathfrak{S}_n} {\sf a}^{{\sf arec}(\sigma)} {\sf b}^{{\sf erec}(\sigma)} {\sf c}^{n-{\sf arec}(\sigma)-{\sf erec}(\sigma)}.$$

Note that

$$\sum_{n=0}^{\infty} P_n(a, b, 1, 1) t^n = \frac{\sum_{n \ge 0} (a)_n (b)_n t^n / n!}{\sum_{n \ge 0} (a)_n (b-1)_n t^n / n!},$$

where  $(a)_n = a(a+1)...(a+n-1)$ .

The polynomials [sequence A145879/A202992]

$$P_n(x, x, u, u) = \sum_{\sigma \in \mathfrak{S}_n} x^{n - \operatorname{nrar}(\sigma)} u^{\operatorname{nrar}(\sigma)}$$
$$= \sum_{k=0}^n T(n, k) x^{n-k} u^k$$

where T(n, k) is the number of permutations in  $\mathfrak{S}_n$  having exactly k indices that are the middle point of a pattern 321 (or 123). In particular T(n, 0) is the number of 123-avoiding permutations, which equals the Catalan number  $C_n = \frac{1}{n+1} \binom{2n}{n}$ . So the polynomials interpolate between  $C_n$  and n!.

# Special cases (5): Narayana polynomials

$$P_n(x, y, 0, 0) = \sum_{\sigma \in \mathfrak{S}_n(321)} x^{\operatorname{arec}(\sigma)} y^{\operatorname{erec}(\sigma)}$$
$$= \sum_{\sigma \in \mathfrak{S}_n(321)} x^{\operatorname{arec}(\sigma)} y^{\operatorname{exc}(\sigma)}$$
$$= \sum_{k=0}^n \frac{1}{n} \binom{n}{k} \binom{n}{k-1} x^k y^{n-k}.$$

These combinatorial interpretations of Narayana numbers were found by Vella'03 and Elisalde'04.

We have classified indices in a permutation according to their record status:

exlusive record, exclusive antirecord, record-antirecord or neither-record-antirecord;

and aslo according to their cycle status:

cycle peak, cycle valley, cycle double rise, cycle double fall or fixed point.

Applying now both classifications simultaneously, we obtain 10 disjoint categories.

Note that if an index i is an erec (resp. earec) then i must be an exc (resp. anti-excedance).

## Record-cycle classifications: 10 classes

- ereccval: exclusive records that are also cycle valleys;
- erecdrise: exclusive records that are also cycle double rises;
- eareccpeak: exclusive antirecords that are also cycle peaks;
- eareccdfall: exclusive antirecords that are also cycle double falls;
- rar: record-antirecords (that are always fixed points);
- nrcpeak: neither-record-antirecords that are also cycle peaks;
- nrcval: neither-record-antirecords that are also cycle valleys;
- nrcdrise: neither-record-antirecords that are also cycle double falls;
- nrcfall: neither-record-antirecords that are also cycle falls;
- nrfix: neither-record-antirecords that are also fixed points.

$$\begin{aligned} Q_n(x_1, x_2, y_1, y_2, z, u_1, u_2, v_1, v_2, w) &= \\ & \sum_{\sigma \in \mathfrak{S}_n} x_1^{\mathsf{eareccpeak}(\sigma)} x_2^{\mathsf{earccdfall}(\sigma)} y_1^{\mathsf{ereccval}(\sigma)} y_2^{\mathsf{ereccdrise}(\sigma)} z^{\mathsf{rar}(\sigma)} \\ & \times u_1^{\mathsf{nrcpeak}(\sigma)} u_2^{\mathsf{nrcdfall}(\sigma)} v_1^{\mathsf{nrcval}(\sigma)} v_2^{\mathsf{nrcdrise}(\sigma)} w^{\mathsf{nrfix}(\sigma)} \end{aligned}$$

#### But we can go farther!

If *i* is a fixed point of  $\sigma$ , we define its level by

$$\mathsf{lev}(i,\sigma) := \#\{j < i : \sigma(j) > i\} = \#\{j > i : \sigma(j) < i\}.$$

Clearly, a fixed point *i* is a record-antirecord if its level is 0, and a neither-record-antirecord if its level is  $\geq 1$ .

## First J-fraction

For  $\sigma \in \mathfrak{S}_n$  and  $\ell \geq 0$  we define

$$fix(\sigma, \ell) := \#\{i \in [n] : \sigma(i) = i \text{ and } \operatorname{lev}(i, \sigma) = \ell\}.$$

Introduce indeterminates  $\mathbf{w} = (w_\ell)_{\ell \geq 0}$  and write

$$\mathbf{w}^{\mathsf{fix}(\sigma)} := \prod_{\ell=0}^{\infty} w_{\ell}^{\mathsf{fix}(\sigma,\ell)} = \prod_{i \in \mathrm{Fix}(\sigma)} w_{\mathsf{lev}(i,\sigma)}.$$

The master polynomial encoding all these (now infinitely many) statistics is

$$Q_n(x_1, x_2, y_1, y_2, u_1, u_2, v_1, v_2, \mathbf{w}) = \sum_{\sigma \in \mathfrak{S}_n} x_1^{\text{earcccpeak}(\sigma)} x_2^{\text{earcccdfall}(\sigma)} y_1^{\text{ereccval}(\sigma)} y_2^{\text{ereccdrise}(\sigma)} \times u_1^{\text{nrcpeak}(\sigma)} u_2^{\text{nrcdfall}(\sigma)} v_1^{\text{nrcval}(\sigma)} v_2^{\text{nrcdrise}(\sigma)} \mathbf{w}^{\text{fix}(\sigma)}$$

#### Theorem 2 (First J-fraction for permutations)

The OGF of the polynomials  $Q_n$  has the J-type continued fraction

$$\sum_{n=0}^{\infty} Q_n(x_1, x_2, y_1, y_2, u_1, u_2, v_1, v_2, \mathbf{w}) t^n =$$

$$\frac{1}{1 - w_0 t - \frac{x_1 y_1 t^2}{1 - (x_2 + y_2 + w_1)t - \frac{(x_1 + u_1)(y_1 + v_1)t^2}{1 - \cdots}}}$$

with coefficients  $\gamma_0 = w_0$ ,

$$\gamma_n = [x_2 + (n-1)u_2] + [y_2 + (n-1)v_2] + w_n \quad for \quad n \ge 1$$
  
$$\beta_n = [x_1 + (n-1)u_1][y_1 + (n-1)v_1].$$

#### Define the polynomial

$$\begin{split} \hat{Q}_{n}(x_{1}, x_{2}, y_{1}, y_{2}, u_{1}, u_{2}, v_{1}, v_{2}, \mathbf{w}, \lambda) &= \\ & \sum_{\sigma \in \mathfrak{S}_{n}} x_{1}^{\mathsf{eareccpeak}(\sigma)} x_{2}^{\mathsf{eareccdfall}(\sigma)} y_{1}^{\mathsf{ereccval}(\sigma)} y_{2}^{\mathsf{ereccdrise}(\sigma)} \\ & \times u_{1}^{\mathsf{nrcpeak}(\sigma)} u_{2}^{\mathsf{nrcdfall}(\sigma)} v_{1}^{\mathsf{nrcval}(\sigma)} v_{2}^{\mathsf{nrcdrise}(\sigma)} \mathbf{w}^{\mathsf{fix}(\sigma)} \lambda^{\mathsf{cyc}(\sigma)}. \end{split}$$

This generalization is less satisfying, because cyc does not seem to mesh with the record classification: even the three-variable polynomials

$$\hat{P}_n(x, y, \lambda) = \sum_{\sigma \in \mathfrak{S}_n} x^{\operatorname{arec}(\sigma)} y^{\operatorname{erec}(\sigma)} \lambda^{\operatorname{cyc}(\sigma)}$$

do not have a J-fraction with polynomial coefficients.

# Second J-fraction

Theorem 3 ( $v_1 = y_1$  and  $v_2 = y_2$ )

The OGF of the polynomials  $Q_n$  has the J-type continued fraction

$$\sum_{n=0}^{\infty} \hat{Q}_n(x_1, x_2, y_1, y_2, u_1, u_2, y_1, y_2, \mathbf{w}, \lambda)t^n = \frac{1}{1 - \lambda w_0 t - \frac{\lambda x_1 y_1 t^2}{1 - (x_2 + y_2 + \lambda w_1)t - \frac{(\lambda + 1)(x_1 + u_1)t^2}{1 - \cdots}}},$$

with coefficients  $\gamma_0 = \lambda w_0$ ,

$$\gamma_n = [x_2 + (n-1)u_2] + ny_2 + \lambda w_n \quad for \quad n \ge 1$$
  
$$\beta_n = (\lambda + n - 1)[x_1 + (n-1)u_1]y_1.$$

Comparing Theorem 1 (1) with the first J-fraction the polynomial  $Q_n$  reduces to  $P_n(x, y, u, v)$  if we set

$$\begin{aligned} x_1 &= x_2 = x, \ y_1 = y_2 = y, \ w_0 &= xz \\ u_1 &= u_2 = w_\ell = 1 \ (\ell \geq 1), \ v_1 = v_2 = v. \end{aligned}$$

The weight function reduces to

$$w(\sigma) = x^{\operatorname{arec}(\sigma)} y^{\operatorname{erec}(\sigma)} v^{\operatorname{exc}(\sigma)} z^{\operatorname{rar}(\sigma)}$$

Comparing Theorem 1 (2) with the second J-fraction the polynomial  $\hat{Q}_n$  reduces to  $P_n(x, y, u, v)$  if we set

$$\begin{aligned} x_1 &= x_2 = y, \ u_1 = u_2 = v, \ w_0 &= z \\ y_1 &= y_2 = v_1 = v_2 = w_\ell = 1 (\ell \geq 1), \ \lambda &= x. \end{aligned}$$

The weight function reduces to

 $\hat{w}(\sigma) = x^{\operatorname{cyc}(\sigma)} y^{\operatorname{earec}(\sigma)} v^{\operatorname{aexc}(\sigma)} z^{\operatorname{rar}(\sigma)}.$ 

We have the following equidistribution:

 $(\operatorname{arec},\operatorname{erec},\operatorname{exc},\operatorname{rar}) \sim (\operatorname{cyc},\operatorname{earec},\operatorname{exc},\operatorname{rar}).$ 

Note that rec = erec + rar. We derive

 $(\operatorname{arec},\operatorname{rec},\operatorname{exc})\sim(\operatorname{cyc},\operatorname{arec},\operatorname{exc}).$ 

■ Cori (2008) and Foata-Han (2009) : (arec, rec) ~ (cyc, arec) on 𝔅<sub>n</sub> and the distribution of (cyc, arec) is symmetric.

## A symmetric continued fraction expansion

In Theorem 3 if we set

$$egin{aligned} & x_1=x_2=y, \ u_1=u_2=1, \ w_0=y \ & y_1=y_2=v_1=v_2=z, \ w_\ell=1(\ell\geq 1), \ \lambda=x, \end{aligned}$$

we have the symmetric J-CF expansion

$$\frac{\sum_{n=0}^{\infty} \left(\sum_{\sigma \in \mathfrak{S}_n} x^{\operatorname{cyc}(\sigma)} y^{\operatorname{arec}(\sigma)} z^{\operatorname{exc}(\sigma)}\right) t^n}{1} = \frac{1}{1 - xy t - \frac{xyz t}{1 - (x + y + z) t - \frac{(x + 1)(y + 1)z t}{1 - \cdots}}}$$

with  $\gamma_0 = xy$ ,

$$\gamma_n = x + y + n - 1 + nz$$
  
 $\beta_n = (x + n - 1)(y + n - 1)z, \quad \text{for} \quad n \ge 1.2 + 22 = 22$ 

Define the *p*, *q*-analog of *n*:

$$[n]_{p,q} = \frac{p^n - q^n}{p - q} = \sum_{j=0}^{n-1} p^j q^{n-1-j}.$$

Foata-Zeilberger (1990), Biane (1993), De Médicis-Viennot (1994), Simion-Stanton(1994, 1996), Clarke-Steingrimsson-Z. (1997), Randrianarivony (1998). Postnikov (2001?), Williams (2006), Corteel (2007), Josuat-Vergès (2010), ...

Permutation tableaux, TASEP, PASEP.

## Crossings and nestings



Figure: Pictorial representation of the permutation  $\pi = 9374611281015 = (1, 9, 10)(2, 3, 7)(4)(5, 6, 11)(8)$ 

We draw an upper (resp. lower) arc from *i* to  $\pi(i)$  if  $i < \pi(i)$  (resp.  $i > \pi(i)$ ):



- upper crossing (ucross) if  $k = \sigma(i)$  and  $l = \sigma(j)$ ;
- *lower crossing* (lcross) if  $i = \sigma(k)$  and  $j = \sigma(l)$ .



- upper nesting (unest) if  $l = \sigma(i)$  and  $k = \sigma(j)$ ;
- lower nesting (lnest) if  $i = \sigma(I)$  and  $j = \sigma(k)$ .



We consider also some "degenerate" cases with j = k, by saying a triplet i < j < l forms an

• upper joining (ujoin) if  $\sigma(i) = j$  and  $\sigma(j) = l$ ;

• *lower joining* (ljoin) if  $i = \sigma(j)$  and  $j = \sigma(l)$ ;



upper pseudo-nesting (upsnest) if I = σ(i) and j = σ(j);
 lower pseudo-nesting (lpsnest) if i = σ(I) and j = σ(j).



• upper crossing of type cval (ucrosscval) if  $k = \sigma(i)$  and  $l = \sigma(j)$  and  $\sigma^{-1}(j) > j$ ;

• upper crossing of type cdrise (ucrosscdrise) if  $k = \sigma(i)$  and  $l = \sigma(j)$  and  $\sigma^{-1}(j) < j$ ;



- lower crossing of type cpeak (lcrosscpeak) if  $i = \sigma(k)$  and  $j = \sigma(l)$  and  $\sigma^{-1}(k) < k$ ;
- lower crossing of type cdfall (lcrosscdfall) if  $i = \sigma(k)$  and  $j = \sigma(l)$  and  $\sigma^{-1}(k) > k$ ;



- upper nesting of type cval (unestcval) if  $l = \sigma(i)$  and  $k = \sigma(j)$  and  $\sigma^{-1}(j) > j$ ;
- upper nesting of type cdrise (unestcdrise) if  $l = \sigma(i)$  and  $k = \sigma(j)$  and  $\sigma^{-1}(j) < j$ ;



- lower nesting of type cpeak (lnestcdpeak) if  $l = \sigma(i)$  and  $j = \sigma(j)$  and  $\sigma^{-1}(k) < k$ ;
- lower nesting of type cdfall (Inestcdfall) if  $i = \sigma(I)$  and  $j = \sigma(j)$  and  $\sigma^{-1}(k) > k$ .



Define the polynomial

$$Q_n(\mathbf{x}, \mathbf{y}, \mathbf{u}, \mathbf{v}, \mathbf{w}, \mathbf{p}, \mathbf{q}, s) := Q_n(x_1, x_2, y_1, y_2, u_1, u_2, v_1, v_2, \mathbf{w}, p_{+1}, p_{+2}, p_{+2}, p_{-1}, p_{-2}, q_{+1}, q_{+2}, q_{-1}, q_{-2}, s) =$$

$$\sum_{\sigma \in \mathfrak{S}_{n}} x_{1}^{\mathsf{eareccpeak}(\sigma)} x_{2}^{\mathsf{earcccfall}(\sigma)} y_{1}^{\mathsf{ereccval}(\sigma)} y_{2}^{\mathsf{ereccdrise}(\sigma)} \times u_{1}^{\mathsf{nrcpeak}(\sigma)} u_{2}^{\mathsf{nrcdfall}(\sigma)} v_{1}^{\mathsf{nrcval}(\sigma)} v_{2}^{\mathsf{nrcdrise}(\sigma)} \mathbf{w}^{\mathsf{fix}(\sigma)} \times p_{+1}^{\mathsf{ucrosscval}(\sigma)} p_{+2}^{\mathsf{ucrosscdrise}(\sigma)} p_{-1}^{\mathsf{lcrosscpeak}(\sigma)} p_{-2}^{\mathsf{lcrosscdfall}(\sigma)} \times q_{+1}^{\mathsf{unestcval}(\sigma)} q_{+2}^{\mathsf{unestcdrise}(\sigma)} q_{-1}^{\mathsf{lnestcpeak}(\sigma)} q_{-2}^{\mathsf{inestcdfall}(\sigma)} s_{2}^{\mathsf{psnest}(\sigma)}$$

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## First J-fraction for permutations

$$\frac{\sum_{n=0}^{\infty} Q_n(\mathbf{x}, \mathbf{y}, \mathbf{u}, \mathbf{v}, \mathbf{w}, \mathbf{p}, \mathbf{q}, s) t^n}{1 - w_0 t - \frac{1}{1 - (x_2 + y_2 + sw_1)t - \frac{(p_1 x_1 + q_{-1} u_1)(p_{+1} y_1 + q_{+1} v_1)t^2}{1 - \cdots}}$$

with coefficents  $\gamma_0 = w_0$  and for  $n \ge 1$ ,

$$\gamma_n = (p_{-2}^{n-1}x_2 + q_{-2}[n-1]_{p_{-2},q_{-2}}u_2) + (p_{+2}^{n-1}y_2 + q_{+2}[n-1]_{p_{+2},q_{+2}}v_2) + s^n w_n$$

 $\beta_n = (p_{-1}^{n-1}x_1 + q_{-1}[n-1]_{p_{-1},q_{-1}}u_1)(p_{+1}^{n-1}y_1 + q_{+1}[n-1]_{p_{+1},q_{+1}}v_1).$ 

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Rather than counting the total numbers of nestings, we should instead count the number of upper (resp. lower) crossings or nestings that use a particular vertex j (resp. k) in second (resp. third) position, and then attribute weights to the vertex j (resp. k) depending on these values.

$$ucross(j, \sigma) = \#\{i < j < k < l : k = \sigma(i) \text{ and } l = \sigma(j)\}$$
  
unest(j, \sigma) = #\{i < j < k < l : k = \sigma(j) \text{ and } l = \sigma(i)\}  
lcross(k, \sigma) = #\{i < j < k < l : i = \sigma(k) \text{ and } j = \sigma(l)\}  
lnest(k, \sigma) = #\{i < j < k < l : i = \sigma(l) \text{ and } j = \sigma(k)\}.

N.B.  $ucross(j, \sigma)$  and  $unest(j, \sigma)$  can be nonzero only when j is a cycle valley or a cycle double rise, while  $lcross(k, \sigma)$  and  $lnest(k, \sigma)$  can be nonzero only when k is a cycle peak or a cycle double fall. And obviously we have

$$\mathsf{ucrosscval}(\sigma) = \sum_{j \in \mathrm{cval}} \mathsf{ucross}(j, \sigma)$$

and analogously for the other seven crossing/nesting quantities.

We now introduce five infinite families of indeterminates  $\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{d}$ where  $\mathbf{x} = (x_{\ell,\ell'})_{\ell,\ell'\geq 0}$  and  $\mathbf{w} = (w_\ell)_{\ell\geq 0}$ , and define the polynomial  $Q_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{d}, \mathbf{w}) =$  $\sum_{\sigma\in\mathfrak{S}_n}\prod_{i\in\text{cval}}a_{\text{ucross}(i,\sigma),\text{unest}(i,\sigma)}\prod_{i\in\text{cpeak}}b_{\text{lcross}(i,\sigma),\text{lnest}(i,\sigma)} \times$  $\prod_{i\in\text{cdfall}}c_{\text{lcross}(i,\sigma),\text{lnest}(i,\sigma)}\prod_{i\in\text{cdrise}}d_{\text{ucross}(i,\sigma),\text{unest}(i,\sigma)}\prod_{i\in\text{fix}}w_{\text{lev}(i,\sigma)}$ 

These polynomials then have a beautiful J-fraction.

#### Theorem 4 (First master J-fraction for permutations)

The OGF of the polynomials  $Q_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{d}, \mathbf{w})$  has the J-type continued fraction

$$\sum_{n=0}^{\infty} Q_n(\mathbf{a},\mathbf{b},\mathbf{c},\mathbf{d},\mathbf{w}) t^n =$$

$$\overline{1-w_0t-rac{a_{00}b_{00}t^2}{1-(c_{00}+d_{00}+w_1)t-rac{(a_{00}+a_{10})(b_{01}+b_{10})t^2}{1-\cdots}}}$$

with coefficients  $\gamma_n = c_{n-1}^* + d_{n-1}^* + w_n$  and  $\beta_n = a_{n-1}^* b_{n-1}^*$ , where  $a_{n-1}^* := \sum_{\ell=0}^{n-1} a_{\ell,n-1-\ell} = a_{0,n-1} + a_{1,n-2} + \ldots + a_{n-1,0}$ .

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We again introduce five infinite families of indeterminates **a**, **b**, **c**, **d** where  $\mathbf{a} = (a_{\ell})_{\ell > 0}$ ,  $\mathbf{b} = (b_{\ell,\ell'})_{\ell,\ell' > 0}$ ,  $\mathbf{c} = (c_{\ell,\ell'})_{\ell,\ell' > 0}$ ,  $\mathbf{d} = (d_{\ell,\ell'})_{\ell,\ell'>0}$ , and  $\mathbf{e} = (e_{\ell})_{\ell>0}$ , and define the polynomial  $\hat{Q}_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{d}, \lambda) =$  $\sum \lambda^{\mathsf{cyc}(\sigma)} \prod a_{\mathsf{ucross}(i,\sigma)+\mathsf{unest}(i,\sigma)} \prod b_{\mathsf{lcross}(i,\sigma),\mathsf{lnest}(i,\sigma)} \times$  $\sigma \in \mathfrak{S}_n$   $i \in \mathbf{cval}$ i∈cpeak  $\prod C_{\mathsf{lcross}(i,\sigma),\mathsf{lnest}(i,\sigma)} \prod d_{\mathsf{ucross}(i,\sigma)+\mathsf{unest}(i,\sigma),\mathsf{unest}(\sigma^{-1}(i),\sigma)}$ i∈cdfall i∈cdrise  $e_{\text{lev}(i,\sigma)}$ i∈fix

These polynomials then have a beautiful J-fraction.

#### Theorem 5 (Second master J-fraction for permutations)

The OGF of the polynomials  $Q_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{d}, \mathbf{e}, \lambda)$  has the J-type continued fraction

$$\frac{\sum_{n=0}^{\infty} \hat{Q}_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{d}, \mathbf{e}, \lambda) t^n}{1 - \lambda e_0 t - \frac{\lambda a_0 b_{00} t^2}{1 - (c_{00} + d_{00} + \lambda e_1) t - \frac{(\lambda + 1) a_1 (b_{00} + b_{10}) t^2}{1 - \cdots}}$$

with coefficients 
$$\gamma_n = c_{n-1}^* + d_{n-1}^{\natural} + \lambda e_n$$
 and  
 $\beta_n = (\lambda + n - 1)a_{n-1}b_{n-1}^*$ , where  $b_{n-1}^* := \sum_{\ell=0}^{n-1} b_{\ell,n-1-\ell}$ ,  
 $c_{n-1}^* := \sum_{\ell=0}^{n-1} c_{\ell,n-1-\ell}$ ,  $d_{n-1}^{\natural} := \sum_{\ell=0}^{n-1} d_{n-1,\ell}$ .

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A inversion of a permutation  $\sigma \in \mathfrak{S}_n$  is a pair  $i, j \in [n]$  such that i < j and  $\sigma(i) > \sigma(j)$ .

Lemma 1

We have

$$inv = cval + cdrise + cdfall + ucross + lcross + 2(unest + lnest + psnest).$$

de Médicis and Viennot, Clarke-Steingrimsson-Z., ...

The Bell number  $B_n$  is the number of partitions of an *n*-element set into nonempty blocks with  $B_0 = 1$ .



with coefficients  $\alpha_{2k-1} = 1$ ,  $\alpha_{2k} = k$ .

# $\sum_{n=0}^{\infty} B_n(x, y, v) t^n = \frac{1}{1 - \frac{x t}{1 - \frac{y t}{1 - \frac{x t}{1 - \frac{x t}{1 - \frac{x t}{1 - \frac{x t}{1 - \frac{y t}{1 - \cdots}}}}}}$

with coefficients  $\alpha_{2k-1} = x$ ,  $\alpha_{2k} = y + (k-1)v$ . Clearly  $B_n(x, y, v)$  is a homogeneous polynomial of degree *n*; it has three truly independent variables.

#### Theorem 6 (S-fraction for set)

The polynomials  $B_n(x, y, v)$  have the combinatorial interpretation

$$B_n(x, y, v) = \sum_{\pi \in \Pi_n} x^{|\pi|} y^{\operatorname{erec}(\pi)} v^{n-|\pi|-\operatorname{erec}(\pi)}$$

where  $|\pi|$  (resp. erec( $\pi$ )) denotes the number of blocks (resp. exclusive records) in  $\pi$ .

Given  $\pi \in \Pi_n$ , for  $i \in [n]$ , we define  $\sigma'(i)$  to be the next-larger element after *i* in its block, if *i* is not the largest element in its block, and 0 otherwise. Then  $\operatorname{erec}(\pi) := \operatorname{erec}(\sigma')$ . For example, if  $\pi = \{1, 5\} - \{2, 3, 7\} - \{4\} - \{6\}$ , then  $\sigma' = 5370000$ .

Given a partition  $\pi$  of [n], we say that an element  $i \in [n]$  is

- an *opener* if it is the smallest element of a block of size  $\geq 2$ ;
- a *colser* if it is the largest element of a block of size  $\geq 2$ ;
- an *insider* if it is a non-opener non-closer element of a block of size ≥ 3;
- a *singleton* if it is the sole element of a block of size 1.

Clearly every element  $i \in [n]$  belongs to precisely one of these four classes.

We can refine the polynomial  $B_n(x, y, v)$  by distinguishing between singletons and blocks of size  $\geq 2$ ; in addition, we can distinguish between exclusive records that are openers and those that are insiders. Define

$$B_n(x_1, x_2, y_1, y_2, v) = \sum_{\pi \in \Pi_n} x_1^{m_1(\pi)} x_2^{m_{\geq 2}(\pi)} \times y_1^{\operatorname{erecin}(\pi)} y_2^{\operatorname{erecop}(\pi)} v^{n-|\pi|-\operatorname{erec}(\pi)},$$

where  $m_1(\pi)$  is the number of singletons in  $\pi$ ,  $m_{\geq 2}(\pi)$  is the number of non-singletons blocks,  $\operatorname{erecin}(\pi)$  is the number of exclusive records that are insiders, and  $\operatorname{erecop}(\pi)$  is the number of exclusive records that are openers.

## Theorem 7 (J-fraction for set partitions)

$$\sum_{n=0}^{\infty} B_n(x_1, x_2, y_1, y_2, v) t^n =$$

$$rac{1}{1-x_1t-rac{x_2y_2t^2}{1-(x_1+y_1)t-rac{x_2(y_2+v)t^2}{1-\cdots}}}$$

with coefficients  $\gamma_0 = x_1$ ,

$$\gamma_n = x_1 + y_1 + (n-1)v$$
 for  $n \ge 1$   
 $\beta_n = x_2[y_2 + (n-1)v].$ 

## Graph of a partition

Let  $\pi = \{B_1, B_2, \ldots, B_k\}$  be a partition of [n]. We associate a graph  $\mathcal{G}_{\pi}$  with vertex set [n] such that i, j are joined by an edge if and only if they are consecutive elements within the same block. We then say that a quadruplet i < j < k < l forms a

- crossing (cr) if  $(i, k) \in \mathcal{G}_{\pi}$  and  $(j, l) \in \mathcal{G}_{\pi}$ ;
- *nesting* (ne) if  $(i, l) \in \mathcal{G}_{\pi}$  and  $(j, k) \in \mathcal{G}_{\pi}$ .

We also say that a triplet i < k < l forms a

• pseudo-nesting (psne) if  $(i, l) \in \mathcal{G}_{\pi}$ .



# First p, q-generalization

We now introduce a (p, q)-generalization of previous polynomial:

$$B_{n}(x_{1}, x_{2}, y_{1}, y_{2}, v, p, q, r) = \sum_{\pi \in \Pi_{n}} x_{1}^{m_{1}(\pi)} x_{2}^{m_{\geq 2}(\pi)} y_{1}^{\operatorname{erecin}(\pi)} y_{2}^{\operatorname{erecop}(\pi)} \times v^{n - |\pi| - \operatorname{erecop}(\pi)} p^{\operatorname{cr}(\pi)} q^{\operatorname{ne}(\pi)} r^{\operatorname{psne}(\pi)}.$$

#### Theorem 8

$$\sum_{n=0}^{\infty} B_n(x_1, x_2, y_1, y_2, v, p, q, r)t^n = \frac{1}{1 - x_1 t - \frac{x_2 y_2 t^2}{1 - \cdots}}$$

with coefficients  $\gamma_0 = x_1$ ,

$$\gamma = r^{n} x_{1} + p^{n-1} y_{1} + q[n-1]_{p,q} v \quad \text{for } n \ge 1$$
  
$$\beta_{n} = x_{2} (p^{n-1} y_{2} + q[n-1]_{p,q} v).$$

Rather that counting the *total* numbers of quadrauplets i < j < k < l that form crossings or nestings, we should instead count the number of crossings or nestings that use a particular vertex k in third (or sometimes second) position, and then attribute weights to the vertex k depending on those values. We define

$$cr(k,\pi) = \#\{i < j < k < l : (i,k) \in \mathcal{G}_{\pi} \text{ and } (j,l) \in \mathcal{G}_{\pi}\}$$
  
 $ne(k,\pi) = \#\{i < j < k < l : (i,l) \in \mathcal{G}_{\pi} \text{ and } (j,k) \in \mathcal{G}_{\pi}\}.$ 

In addition we define the *quasi-nesting* of the vertex k:

qne
$$(k, \pi) = \#\{i < k < I : (i, I) \in \mathcal{G}_{\pi}\}$$

Note that  $cr(k, \pi)$  and  $ne(k, \pi)$  can be nonzero only when k is either an insider or a closer; and we obviously have

$$\operatorname{cr}(\pi) = \sum_{k \in \operatorname{insiders} \cap \operatorname{closers}} \operatorname{cr}(k, \pi)$$
$$\operatorname{ne}(\pi) = \sum_{k \in \operatorname{insiders} \cap \operatorname{closers}} \operatorname{ne}(k, \pi)$$
$$\operatorname{psne}(\pi) = \sum_{k \in \operatorname{singletons}} \operatorname{qne}(k, \pi).$$

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We now introduce four infinite families of indterminates  $\mathbf{a} = (a_{\ell})_{\ell \ge 0}$ ,  $\mathbf{b} = (a_{\ell,\ell'})_{\ell,\ell'\ge 0}$ ,  $\mathbf{c} = (c_{\ell,\ell'})_{\ell,\ell'\ge 0}$ ,  $\mathbf{e} = (e_{\ell})_{\ell\ge 0}$  and define the polynomials  $B_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{e})$  by

$$B_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{e}) = \sum_{\pi \in \Pi_n} \prod_{i \in \text{openers}} \mathbf{a}_{\text{qne}(i,\pi)} \prod_{i \in \text{closers}} \mathbf{b}_{\text{cr}(i,\pi), \text{ne}(i,\pi)}$$
$$\prod_{i \in \text{insiders}} \mathbf{c}_{\text{cr}(i,\pi), \text{ne}(i,\pi)} \prod_{i \in \text{singletons}} \mathbf{e}_{\text{psne}(i,\pi)}$$

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#### Theorem 9 (Master J-fraction for set partitions)

The OGF of the polynomials  $B_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{e})$  has the J-type CF

$$\sum_{n=0}^{\infty} B_n(\mathbf{a}, \mathbf{b}, \mathbf{c}, \mathbf{e}) t^n = \frac{1}{1 - e_0 t - \frac{a_0 b_{00} t^2}{1 - (c_{00} + e_1)t - \frac{a_1(b_{01} + b_{10})t^2}{1 - \cdots}}}$$

with coefficients  $\gamma_n = \sum_{\ell=0}^{n-1} c_{\ell,n-1-\ell} + e_n, \quad \beta_n = a_{n-1} \sum_{\ell=0}^{n-1} b_{\ell,n-1-\ell}.$ 

We have also a second master J-fraction using the notion of overlapping and covering.

## Perfect matchings

Euler:

$$\sum_{n=0}^{\infty} (2n-1)!!t^n = \frac{1}{1 - \frac{1t}{1 - \frac{2t}{1 - \frac{3t}{1 - \cdots}}}}$$

We introduce the polytnomials  $M_n(x, y, u, v)$  by

$$\sum_{n=0}^{\infty} M_n(x, y, u, v) t^n = \frac{1}{1 - \frac{x t}{1 - \frac{(x+v) t}{1 - \frac{(x+2u) t}{1 - \cdots}}}}$$

with coefficients  $\alpha_{2k-1} = x + (2k-2)u$ ,  $\alpha_{2k} = y + (2k-1)v$ 

We can regard a perfect matching either as a special type of partition (namely, one in which all blocks are of size 2) or as a special type of permutation (namely, a fixed-point-free involution). We now introduce four infinite families of indterminates  $\mathbf{a} = (a_{\ell})_{\ell \ge 0}$ ,  $\mathbf{b} = (a_{\ell,\ell'})_{\ell,\ell' \ge 0}$ , and define the polynomials  $M_n(\mathbf{a}, \mathbf{b})$  by

$$M_n(\mathbf{a},\mathbf{b}) = \sum_{\pi \in \mathcal{M}_{2n}} \prod_{i \in \text{openers}} \mathbf{a}_{qne(i,\pi)} \prod_{i \in \text{closers}} \mathbf{b}_{cr(i,\pi),ne(i,\pi)}.$$

Of course, we have  $M_n(\mathbf{a}, \mathbf{b}) = B_{2n}(\mathbf{a}, \mathbf{b}, \mathbf{0}, \mathbf{0})$ .

#### Theorem 10 (Master S-fraction for perfect matchings)

The OGF of the polynomials  $B_n(\mathbf{a}, \mathbf{b})$  has the S-type CF

$$\sum_{n=0}^{\infty} M_n(\mathbf{a}, \mathbf{b}) t^n = \frac{1}{1 - \frac{a_0 b_{00} t^2}{1 - \frac{a_1(b_{01} + b_{10}) t^2}{1 - \cdots}}}$$

with coefficients  $\alpha_n = a_{n-1}b_{n-1}^*$ , where

$$b_{n-1}^* = \sum_{\ell=0}^{n-1} b_{\ell,n-1-\ell}.$$

Unfortunately we treat openers and closers asymmetrically.

## Prelininaries: Flajolet's fondamental lemma



 $w(\gamma) = A_0^2 A_1 B_2 B_1^2 C_1 C_0^2.$ 

Let  $\mathfrak{M}_n$  be the set of Motzkin paths of length  $n \geq 1$ . Then

$$1 + \sum_{n \ge 1} \sum_{\gamma \in \mathfrak{M}_n} w(\gamma) x^n = \frac{1}{1 - C_0 x - \frac{A_0 B_1 x^2}{1 - C_1 x - \frac{A_1 B_2 x^2}{\dots}}}.$$
 (3)

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Let  $\mathbf{A} = (A_k)_{k\geq 0}$ ,  $\mathbf{B} = (B_k)_{k\geq 1}$  and  $\mathbf{C} = (C_k)_{k\geq 0}$  be sequences of nonnegative integers. An  $(\mathbf{A}, \mathbf{B}, \mathbf{C})$ -labelled Motzkin path of length n is a pair  $(\omega, \xi)$  where  $\omega = (\omega_0, \dots, \omega_n)$  is a Motzkin path of length n, and  $\xi = (\xi_1, \dots, \xi_n)$  is a sequence of integres satisfying

$$1 \leq \xi_i \leq \begin{cases} A(h_{i-1}) & \text{if } h_i = h_{i-1} + 1 \text{ (i.e. step } i \text{ is a rise)} \\ B(h_{i-1}) & \text{if } h_i = h_{i-1} - 1 \text{ (i.e. step } i \text{ is a fall)} \\ C(h_{i-1}) & \text{if } h_i = h_{i-1} \text{ (i.e. step } i \text{ is a level step)} \end{cases}$$

where  $h_i$  is the height of the Motzkin path after step *i*, i.e.  $\omega_i = (i, h_i)$  and

 $A_k = k + 1 \ (k \ge 0), \quad B_k = k \ (k \ge 1), \quad C_k = 2k + 1 \ (k \ge 0).$ 

It is convenient to divide the level steps into three types: Let  $C_k = C_k^{(1)} + C_k^{(2)} + C_k^{(3)}$  with

$$C_k^{(1)}=k, \quad C_k^{(2)}=k, \quad C_k^{(3)}=1 \ (k\geq 0).$$

Thus, Euler's CF expansion for  $\sum_{n\geq 0} n!x^n$  is equivalent to say that the number of  $(\mathbf{A}, \mathbf{B}, \mathbf{C}^{(1)}, \mathbf{C}^{(2)}, \mathbf{C}^{(3)})$ -labelled 3-colored Motzkin paths of length n is n!.

We then use a variant of the Foata-Zeilberger bijection for the first J-fraction. To prove the second fraction we need to construct a bijection that will allow us to count the number of cycles (cyc), which is a global variable. We will employ a variant of Biane's bijection.

# Permutations: Outline of Proofs

- **1** Definition of the Motzkin path.
- **2** Definition of the labels  $\xi_i$ .
- 3 Proof of bijection.
- 4 Translation of the statistics.
- **5** Computation of the weights.

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Given a permutation  $\sigma \in \mathfrak{S}_n$ , we classify the indices  $i \in [n]$  in the usual way as cycle peak, cycle valley, cycle doube rise, cycle double fall or fixed point. We then define a path  $\omega = (\omega_0, \ldots, \omega_n)$  strating at  $\omega_0 = (0,0)$  and ending at  $\omega_n = (n,0)$ , with steps  $s_1, \ldots, s_n$  as follows:

- If *i* is a cycle valley, then *s<sub>i</sub>* is a rise.
- If i is a cycle peak, then  $s_i$  is a fall.
- If *i* is a cycle double fall, then  $s_i$  is a level step of type 1.
- If *i* is a cycle double rise, then  $s_i$  is a level step of type 2.

If *i* is a fixed point, then  $s_i$  is a level step of type 3.



0 1 2 3 4 5 6 7 The 3-coloreed Motzkin path corresponding to the permutation  $\sigma = (1, 5, 2, 6, 7, 3)(4)$ 

We then need to explain how the labels  $\xi$  are defined; next we will prove that the mapping is indeed a bijection; next we will translate the various statistics from  $\mathfrak{S}_n$  to our labelled Motzkin paths; and finally we will sum over labels  $\xi$  to obtain the weight  $W(\omega)$ associated to a Motzkin path  $\omega$ , which upon applying Flajolet's result will yield our Theorem.

# Joyeux anniversaire, Christian!

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