



Catalan Numbers

Richard P. Stanley

An OEIS entry

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A000108: 1, 1, 2, 5, 14, 42, 132, 429, ...

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

C_n is a **Catalan number**.

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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.

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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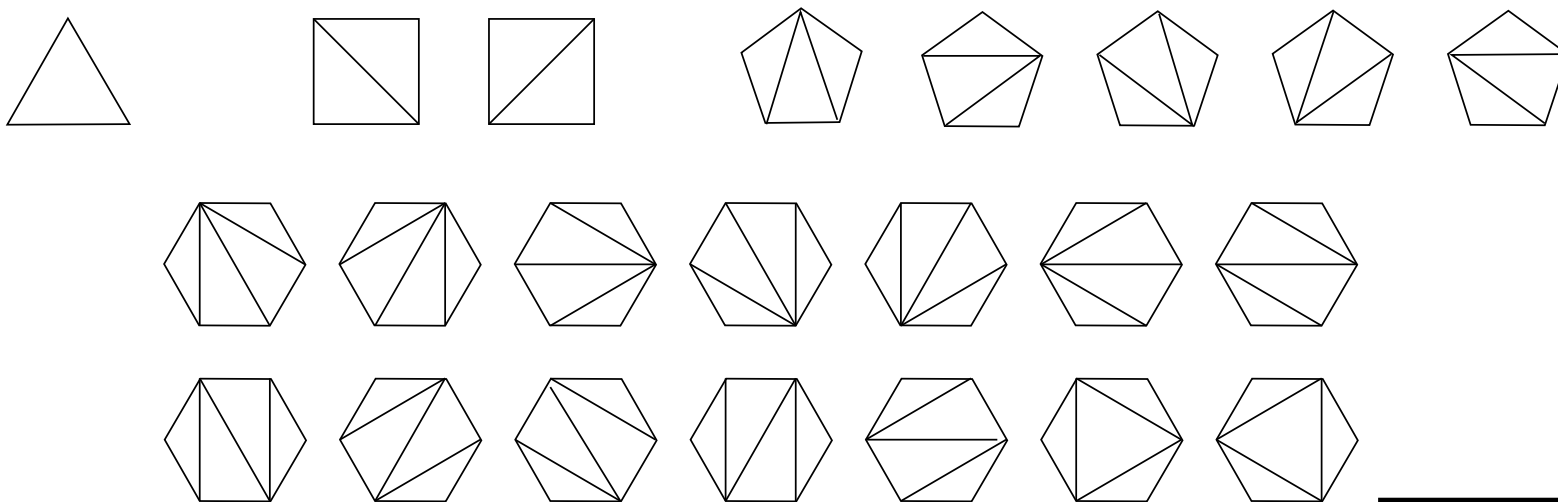
No combinatorics, no further work in China.

Manuscript of Ming Antu



More history, via Igor Pak

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



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.

Why “Catalan numbers”?

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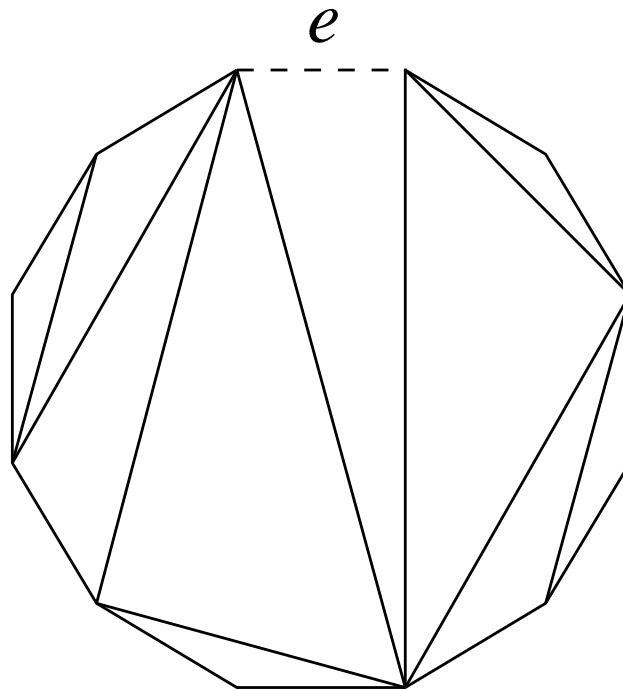
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- **Martin Gardner** (1976): used the term in his Mathematical Games column in *Scientific American*. Real popularity began.

The primary recurrence

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Let $y = \sum_{n \geq 0} C_n x^n$.

Multiply recurrence by x^n and sum on $n \geq 0$.

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$$\sum_{n \geq 0} C_{n+1} x^n = \sum_{n \geq 0} \left(\sum_{k=0}^n C_k C_{n-k} \right) x^n$$

A quadratic equation

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Now $x \sum_{n \geq 0} C_{n+1} x^n = \sum_{n \geq 1} C_n x^n = y - 1$.

Moreover, $\sum_{k=0}^n C_k C_{n-k}$ is the coefficient of x^n in $(\sum_{n \geq 0} C_n x^n)^2 = y^2$, since in general, $\sum_{k=0}^n a_k b_{n-k}$ is the coefficient of x^n in the product $(\sum_{n \geq 0} a_n x^n) (\sum_{n \geq 0} b_n x^n)$.

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$$\Rightarrow \frac{y-1}{x} = y^2 \Rightarrow xy^2 - y + 1 = 0$$

Solving the quadratic equation

$$xy^2 - y + 1 = 0 \Rightarrow y = \frac{1 \pm \sqrt{1 - 4x}}{2x}$$

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Well, in general (Taylor series)

$$(1+u)^\alpha = \sum_{n \geq 0} \binom{\alpha}{n} u^n = \sum_{n \geq 0} \alpha(\alpha-1) \cdots (\alpha-n+1) \frac{u^n}{n!}.$$

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Let $u = -4x$, $\alpha = \frac{1}{2}$, to get

$$\sqrt{1 - 4x} = 1 - 2x - 2x^2 + \cdots .$$

Which sign?

Recall $y = \sum_{n \geq 0} C_n x^n = \frac{1 \pm \sqrt{1-4x}}{2x}$.

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The plus sign gives

$$\frac{1 + (1 - 2x - 2x^2 + \dots)}{2x} = \frac{1}{x} - 1 - x + \dots,$$

which makes no sense. The minus sign gives

$$\frac{1 - (1 - 2x - 2x^2 + \dots)}{2x} = 1 + x + \dots,$$

which is correct.

A formula for C_n

We get

$$\begin{aligned} y &= \frac{1}{2x} (1 - \sqrt{1 - 4x}) \\ &= \frac{1}{2x} \left(1 - \sum_{n \geq 0} \binom{1/2}{n} (-4x)^n \right), \end{aligned}$$

where $\binom{1/2}{n} = \frac{\frac{1}{2}(-\frac{1}{2})(-\frac{3}{2})\cdots(-\frac{2n-3}{2})}{n!}$.

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Simplifies to $y = \sum_{n \geq 0} \frac{1}{n+1} \binom{2n}{n} x^n$, so

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

Other combinatorial interpretations

$\mathcal{P}_n := \{\text{triangulations of convex } (n + 2)\text{-gon}\}$

$\Rightarrow \#\mathcal{P}_n = C_n$ (where $\#S = \text{number of elements of } S$)

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bijective proof: show that $C_n = \#\mathcal{S}_n$ by giving a bijection

$$\varphi: \mathcal{T}_n \rightarrow \mathcal{S}_n$$

(or $\mathcal{S}_n \rightarrow \mathcal{T}_n$), where we already know $\#\mathcal{T}_n = C_n$.

Bijection

Reminder: a **bijection** $\varphi: S \rightarrow T$ is a function that is one-to-one and onto, that is, for every $t \in T$ there is a unique $s \in S$ for which $\varphi(s) = t$.

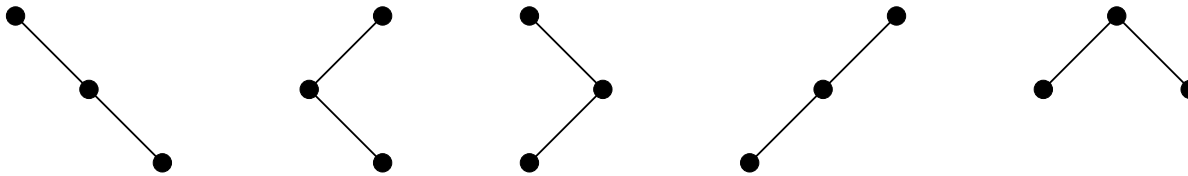
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If S, T are finite and $\varphi: S \rightarrow T$ is a bijection, then $\#S = \#T$ (the “best” way to prove $\#S = \#T$).

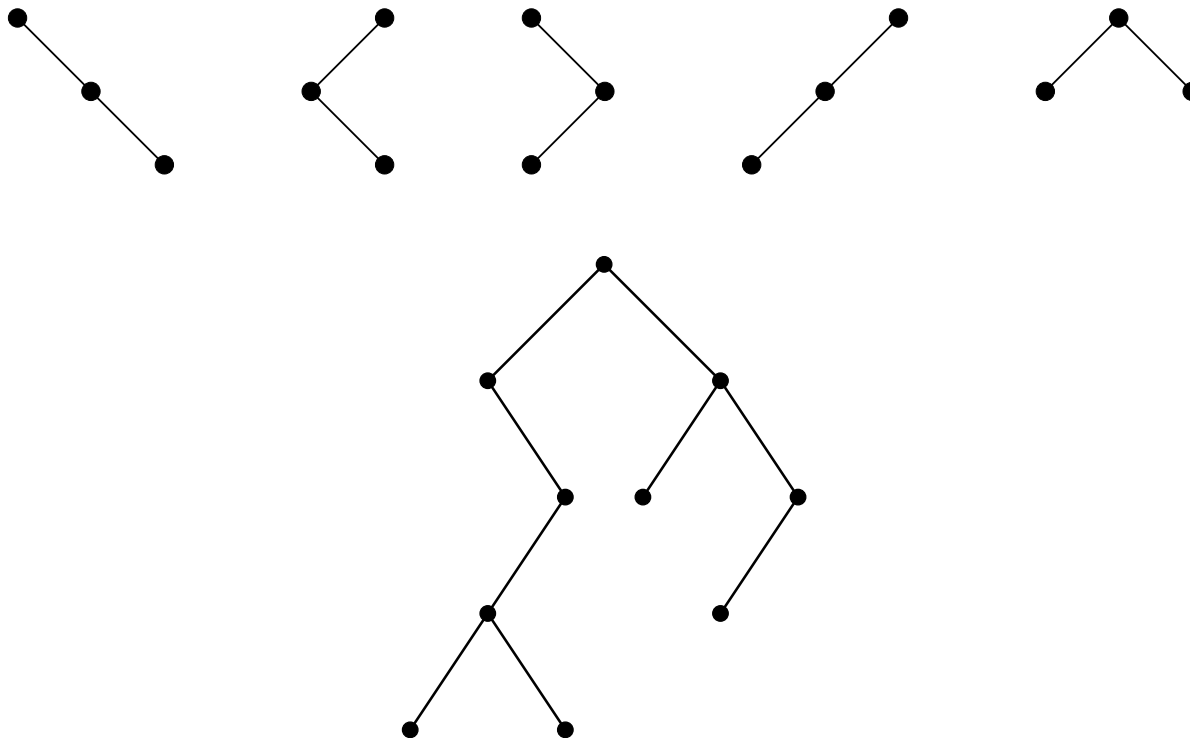
Binary trees

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



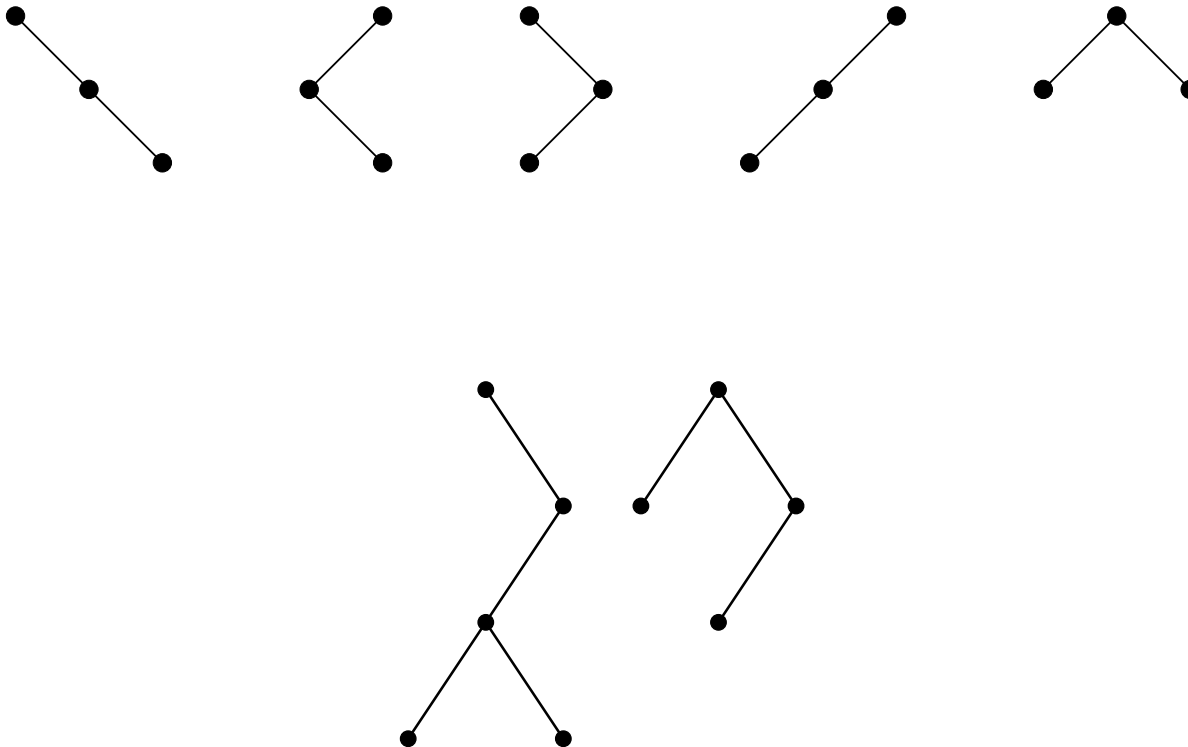
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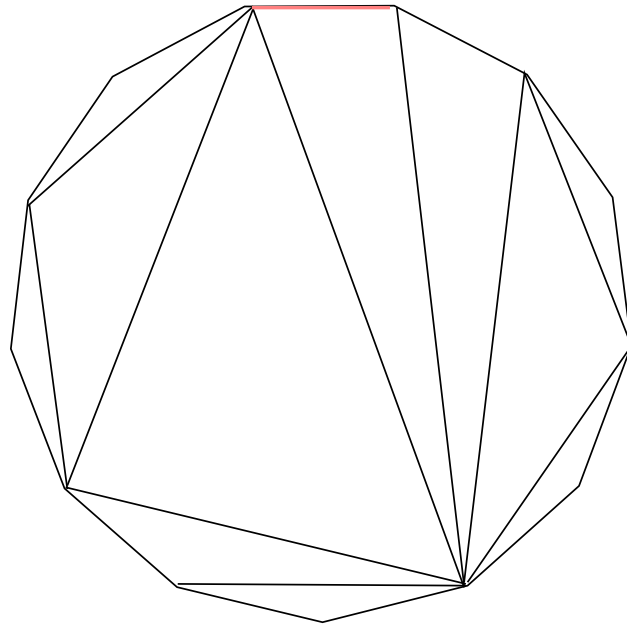


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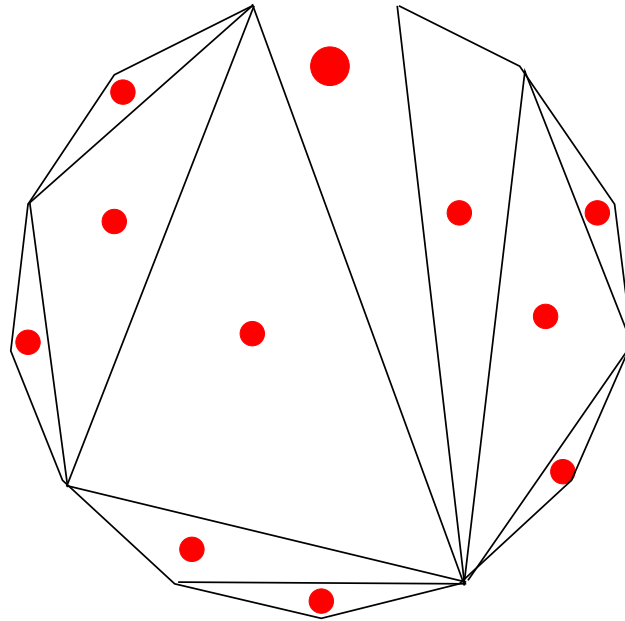
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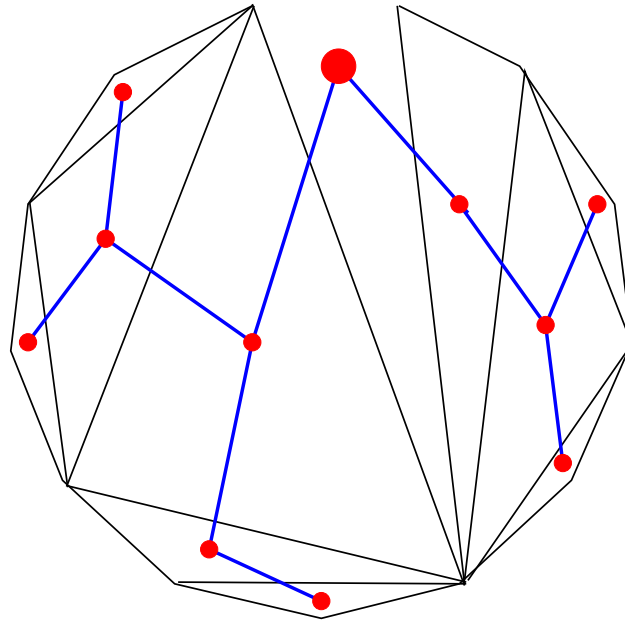
Bijection with triangulations



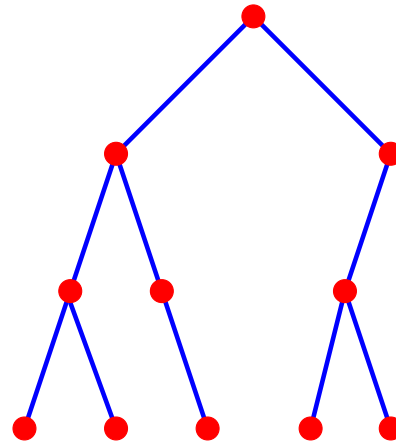
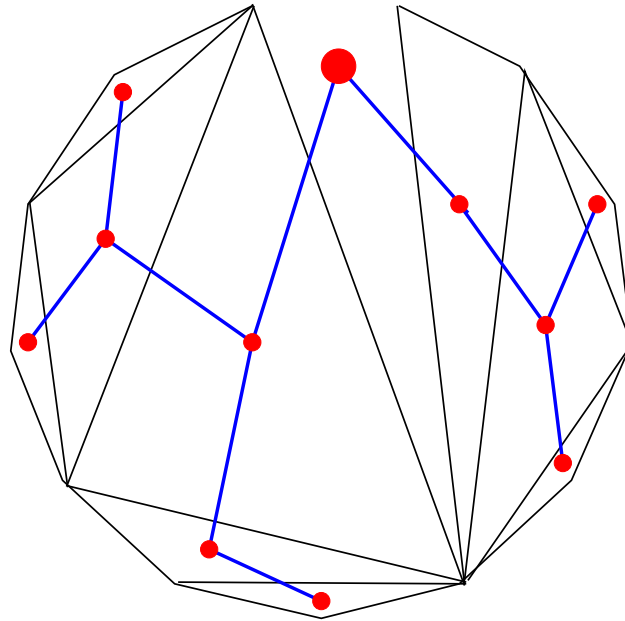
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Binary parenthesizations

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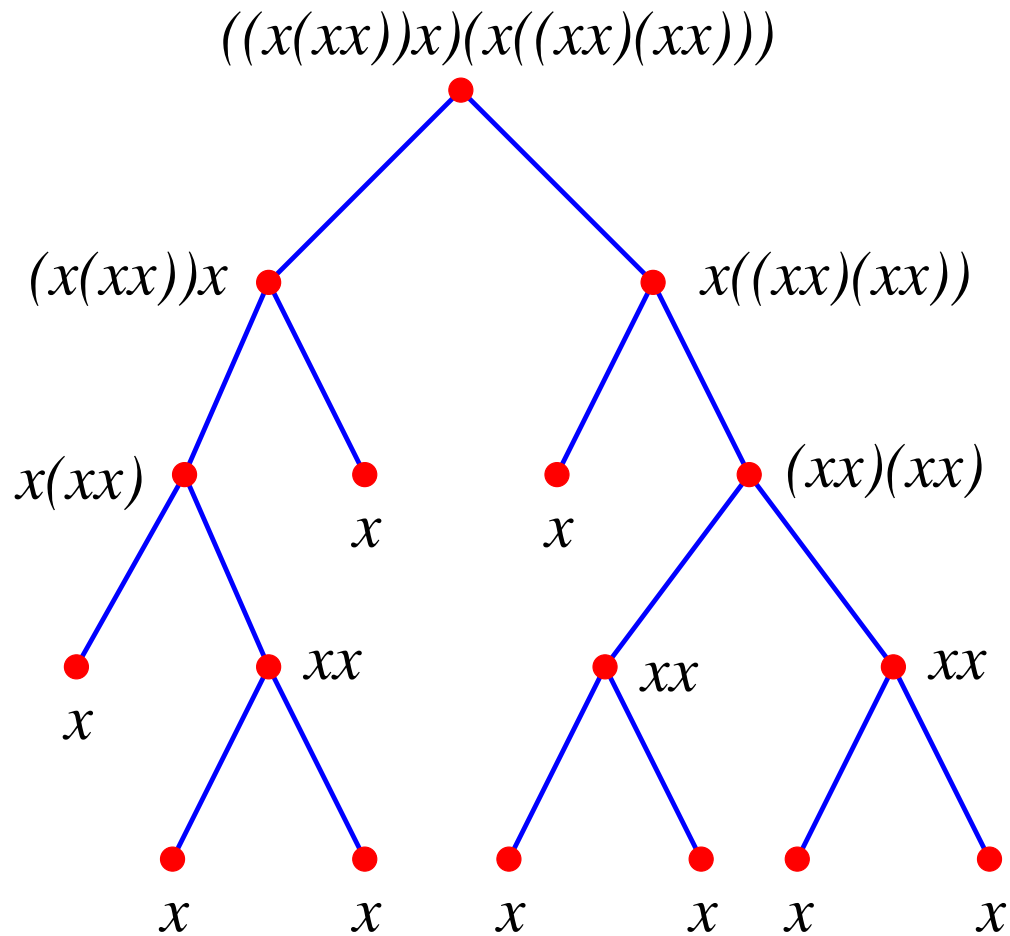
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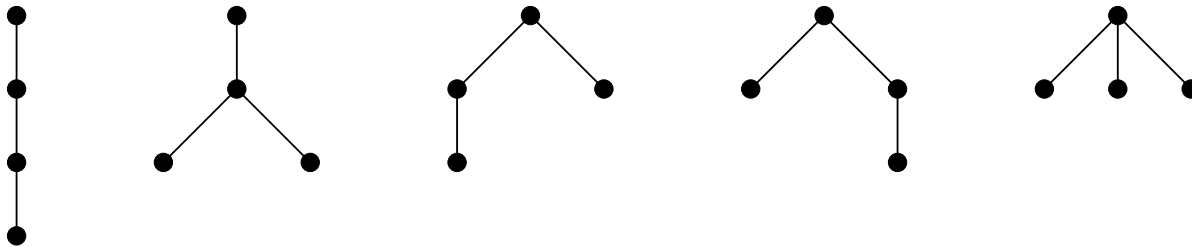
Bijection with binary trees



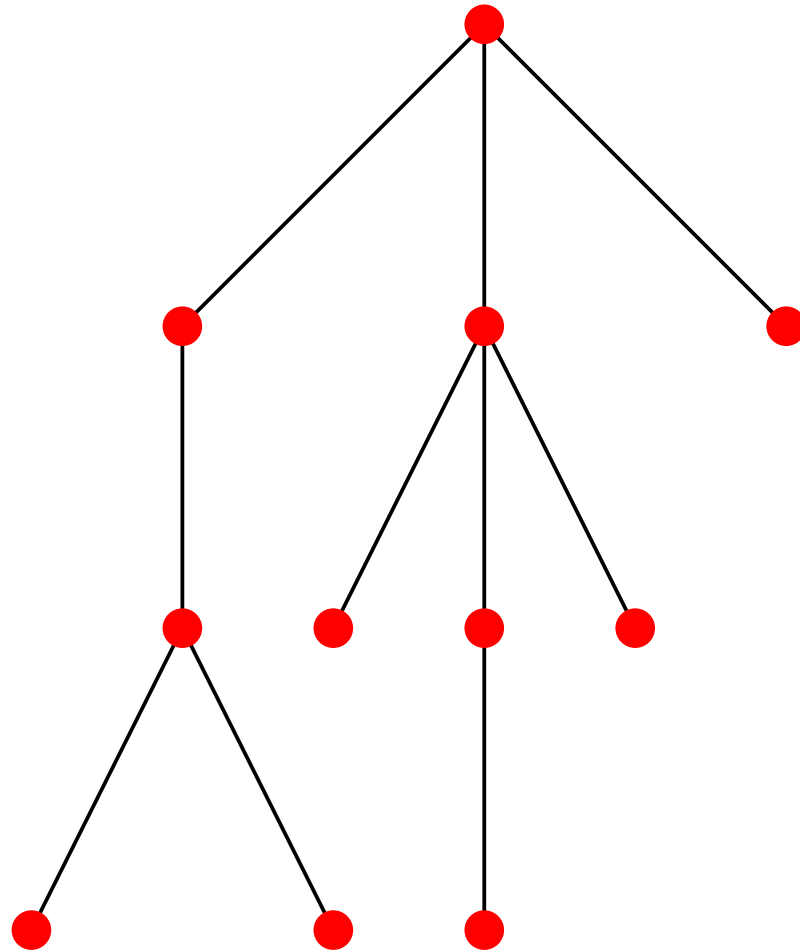
Plane trees

Plane tree: subtrees of a vertex are linearly ordered

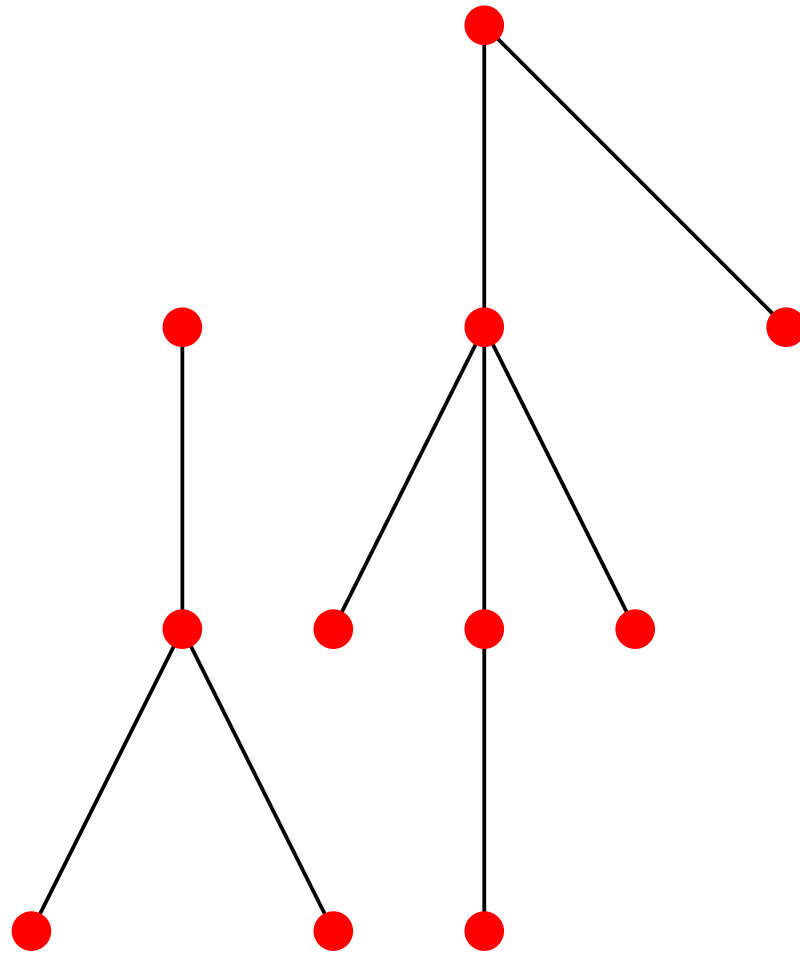
6. Plane trees with $n + 1$ vertices



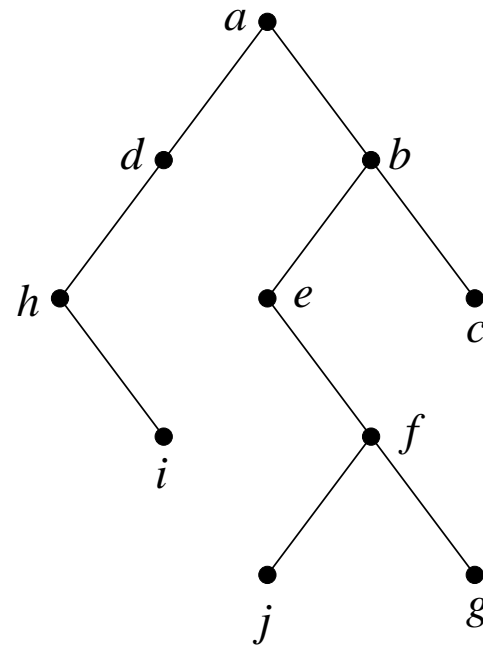
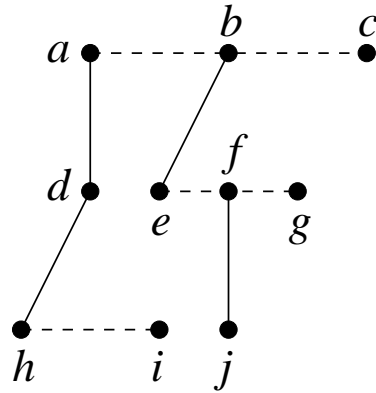
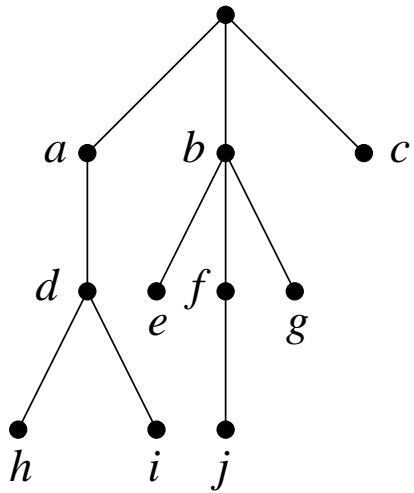
Plane tree recurrence



Plane tree recurrence



Bijection with binary trees



The ballot problem



Bertrand's ballot problem: first published by **W. A. Whitworth** in 1878 but named after **Joseph Louis François Bertrand** who rediscovered it in 1887 (one of the first results in probability theory).

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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-

Ballot sequences

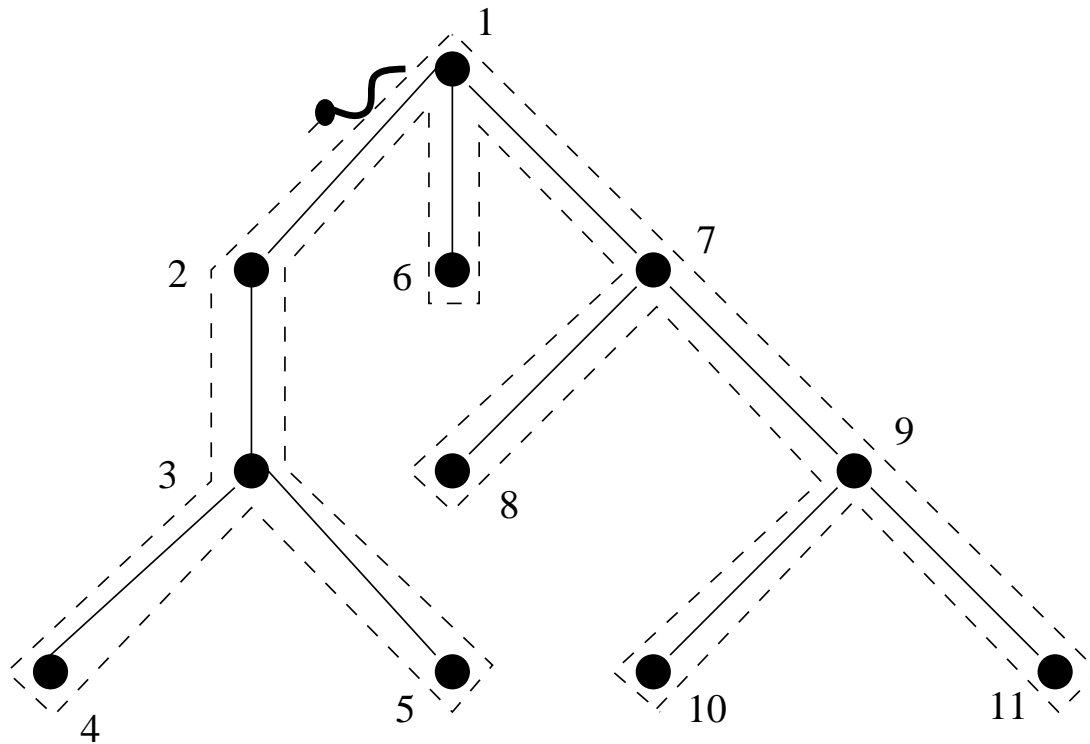
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Note. Answer to original problem (probability that a sequence of n each of 1's and -1 's is a ballot sequence) is therefore

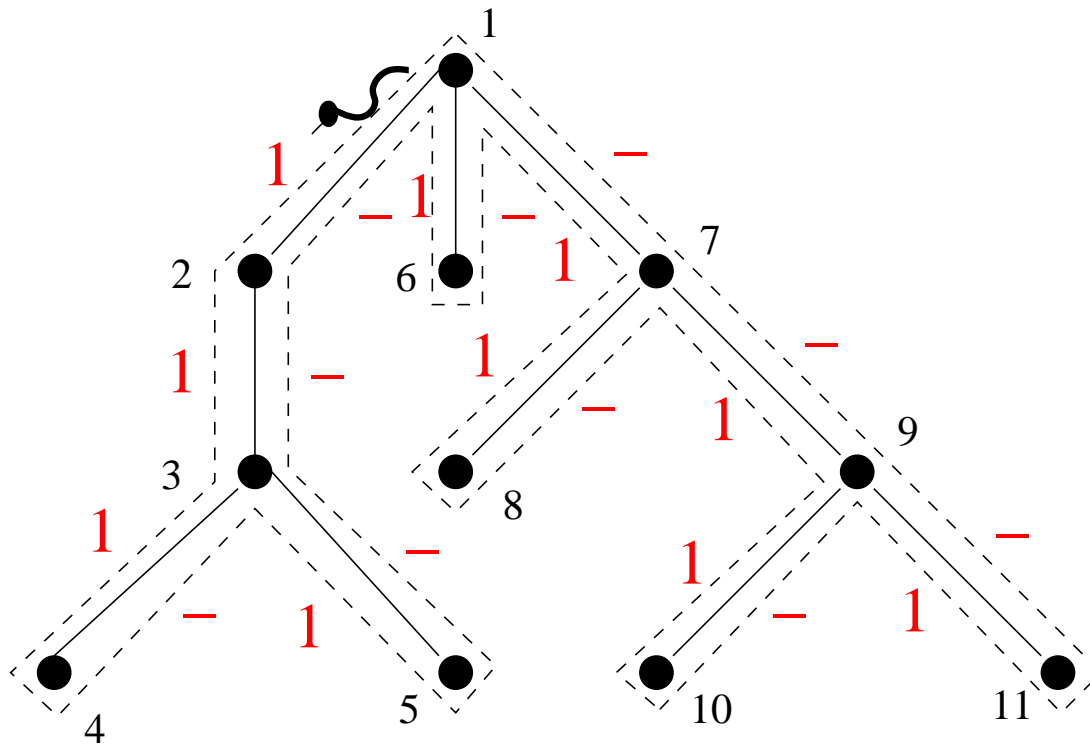
$$\frac{C_n}{\binom{2n}{n}} = \frac{\frac{1}{n+1} \binom{2n}{n}}{\binom{2n}{n}} = \frac{1}{n+1}.$$

Bijection with plane trees



depth first order or preorder

Bijection with plane trees



down an edge: +1, up an edge: -1

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

Combinatorial proof

Let B_n denote the number of ballot sequences $a_1 a_2 \cdots a_{2n}$. We will give a direct **combinatorial proof** (no generating functions) that

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

Binomial coefficients

Reminder. If $0 \leq k \leq n$, then $\binom{n}{k}$ is the number of k -element subsets of an n -element set.

$$\binom{n}{k} = \frac{n(n-1)\cdots(n-k+1)}{k!} = \frac{n!}{k!(n-k)!}$$

Example. $\binom{4}{2} = 6$: six 2-element subsets of $\{1, 2, 3, 4\}$ are

12 13 23 14 24 34.

Cyclic shifts

cyclic shift of a sequence b_0, \dots, b_m : any sequence

$$b_i, b_{i+1}, \dots, b_m, b_0, b_1, \dots, b_{i-1}, \quad 0 \leq i \leq m.$$

There are $m + 1$ cyclic shifts of b_0, \dots, b_m , but they need not be distinct.

The key lemma

Lemma. *Let a_0, a_1, \dots, a_{2n} be a sequence with $n + 1$ terms equal to 1 and n terms equal to -1 . All $2n + 1$ cyclic shifts are distinct since $n + 1$ and n are relatively prime. Exactly one of these cyclic shifts $a_i, a_{i+1}, \dots, a_{i-1}$ has the property that $a_i = 1$ and $a_{i+1}, a_{i+2}, \dots, a_{i-1}$ is a ballot sequence.*

Example of key lemma

Let $n = 4$ and consider the sequence

1 - 1 1 - 1 - - 1. Five cyclic shifts begin with 1:

1 - 1 1 - 1 - - 1 : no

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1	1	–	1	–	–	1	1	–	:	no
1	–	1	–	–	1	1	–	1	:	no
1	–	–	1	1	–	1	1	–	:	no
1	1	–	1	1	–	1	–	–	:	yes!

Proof of key lemma: straightforward induction
argument not given here.

Enumeration of ballot sequences

The number of sequences $1 = a_0, a_1, \dots, a_{2n}$ with $n + 1$ terms equal to 1 and n terms equal to -1 is $\binom{2n}{n}$. (Choose n of the terms a_1, \dots, a_{2n} to equal -1 .)

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There are $n + 1$ cyclic shifts of this sequence that begin with 1. Exactly 1 of them gives a ballot sequence (of length $2n$) when you remove the first term.

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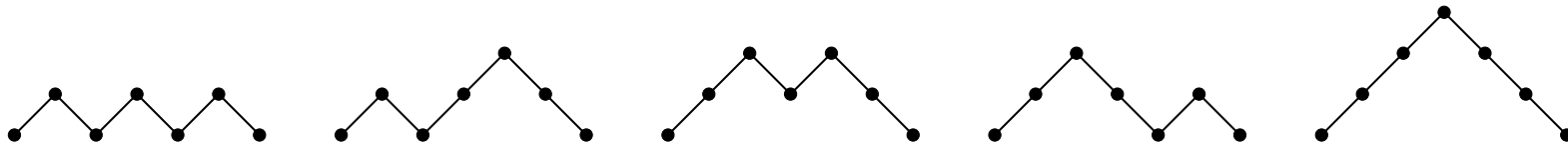
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There are $n + 1$ cyclic shifts of this sequence that begin with 1. Exactly 1 of them gives a ballot sequence (of length $2n$) when you remove the first term.

Therefore the number of ballot sequences of length $2n$ is $\frac{1}{n+1} \binom{2n}{n} = C_n$.

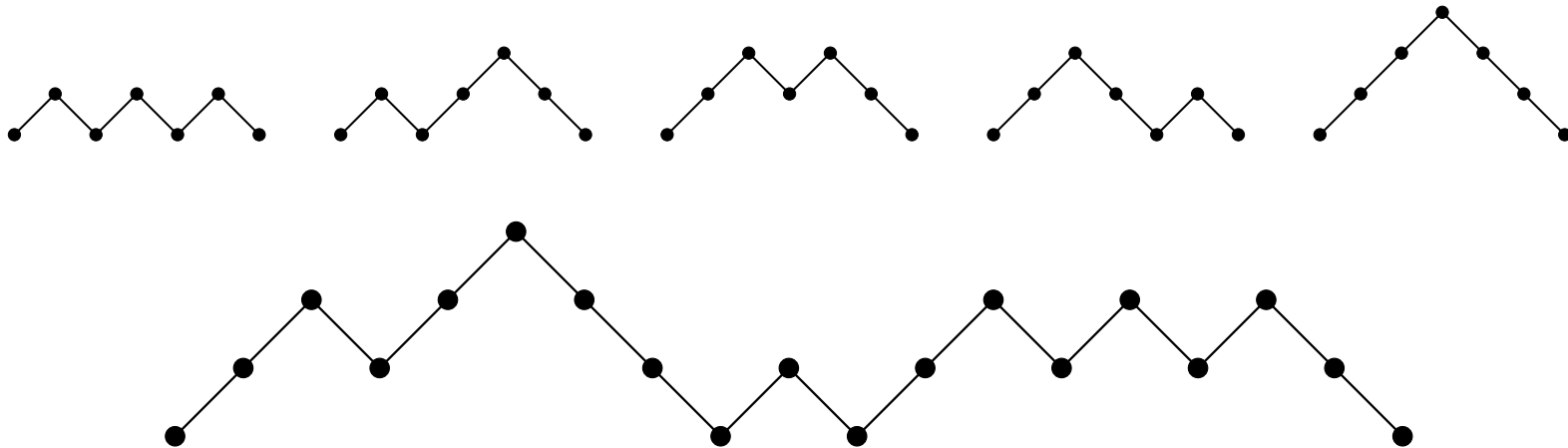
Dyck paths

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



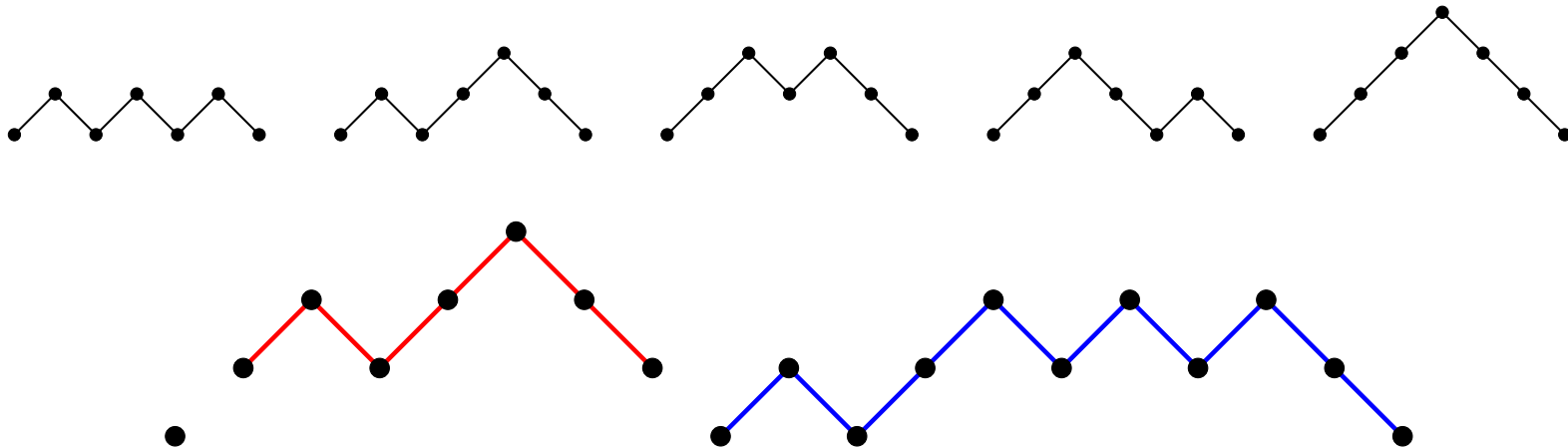
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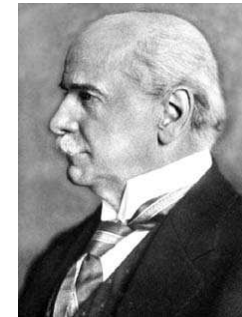
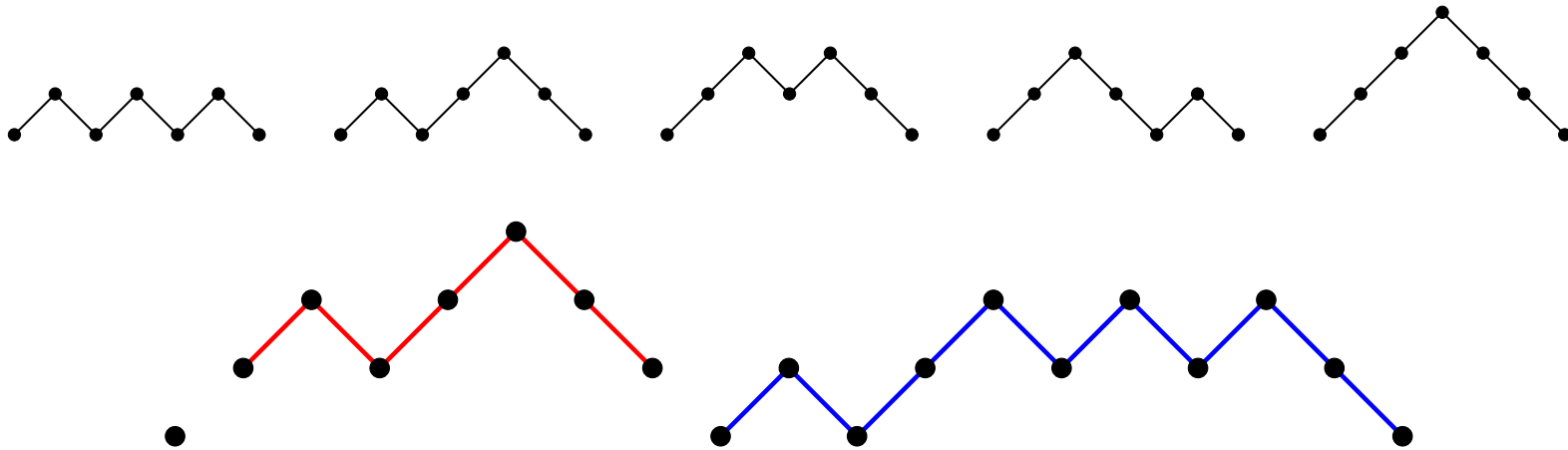
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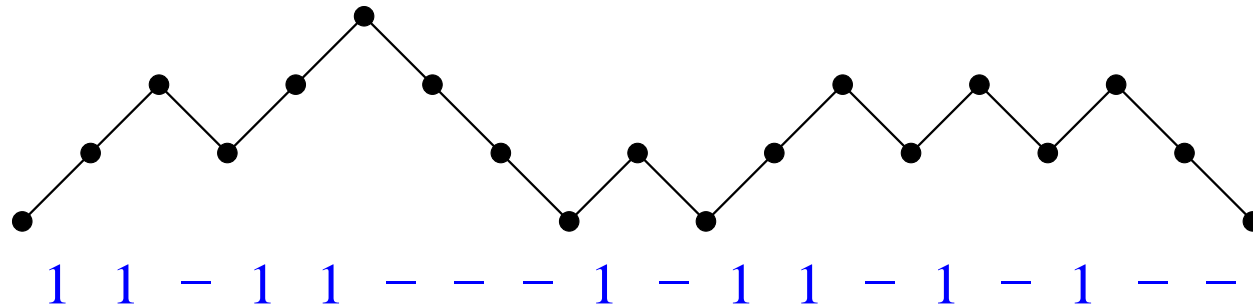
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Walther von Dyck (1856–1934)

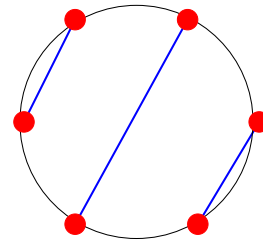
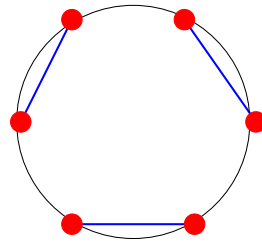
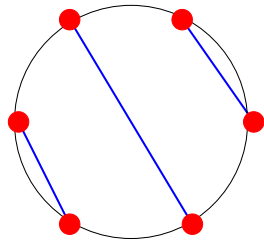
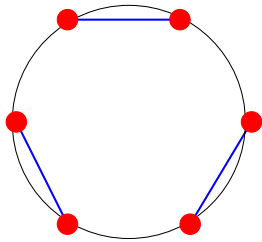
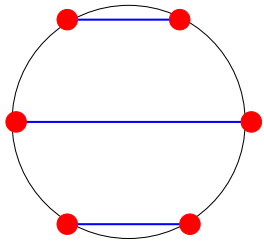
Bijection with ballot sequences



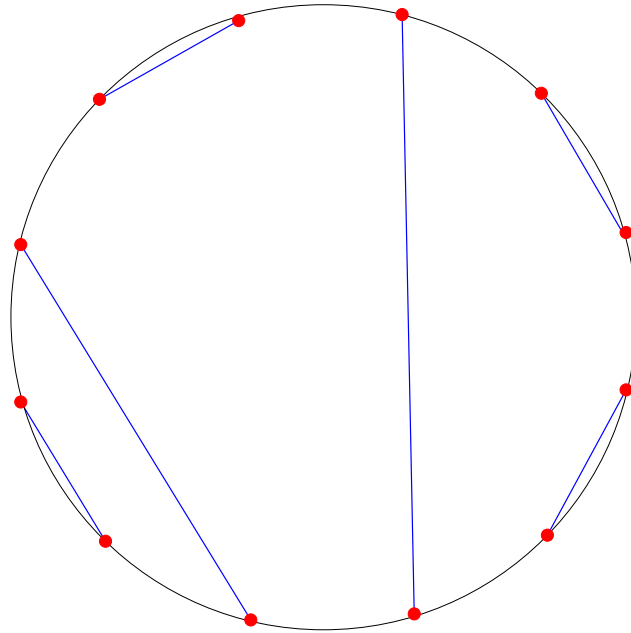
For each upstep, record 1.
For each downstep, record -1 .

Noncrossing chords

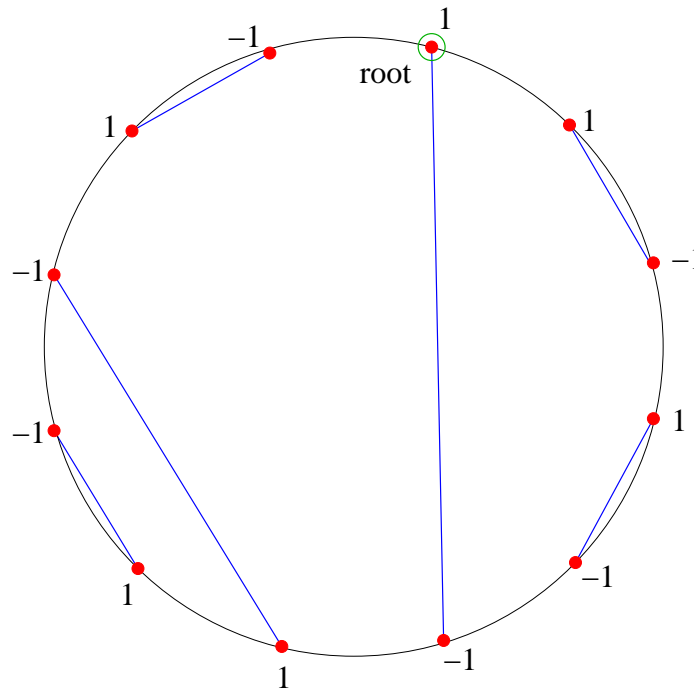
59. n nonintersecting chords joining $2n$ points on the circumference of a circle



Bijection with ballot sequences



Bijection with ballot sequences



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

312-avoiding permutations

116. Permutations $a_1a_2 \cdots a_n$ 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

312-avoiding permutations

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34251768

312-avoiding permutations

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3425 **768**

312-avoiding permutations

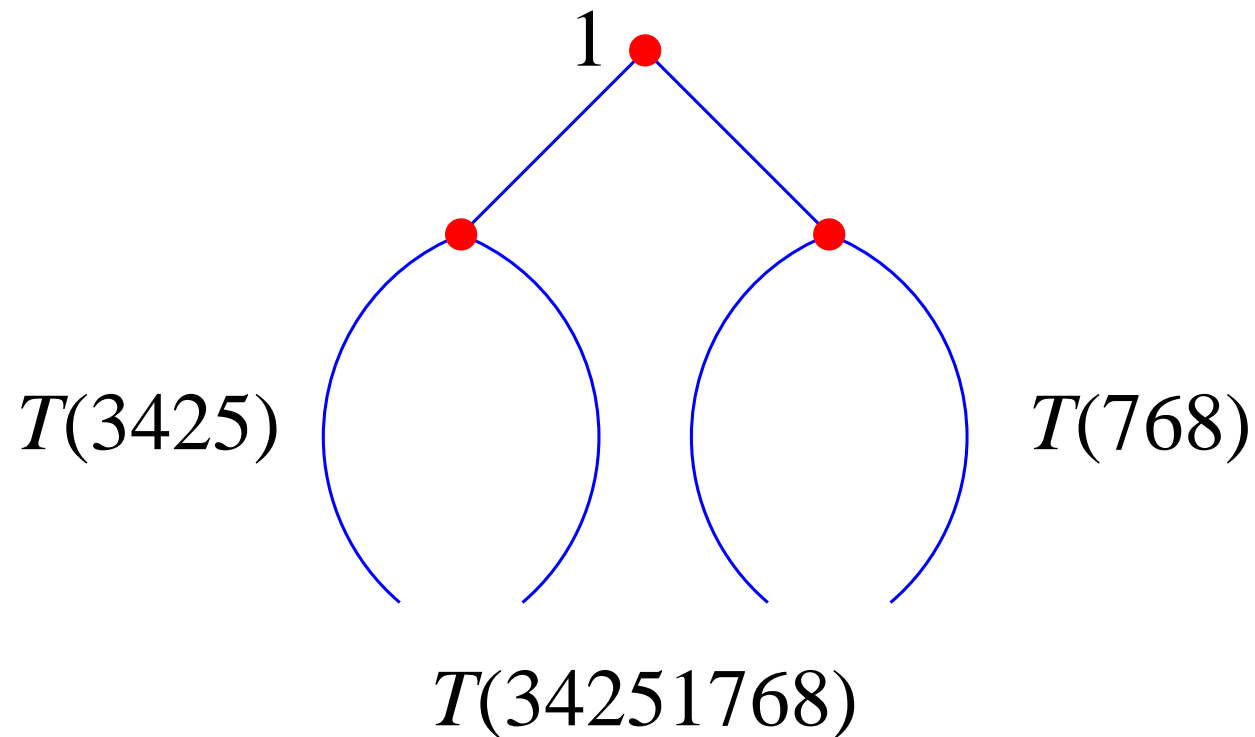
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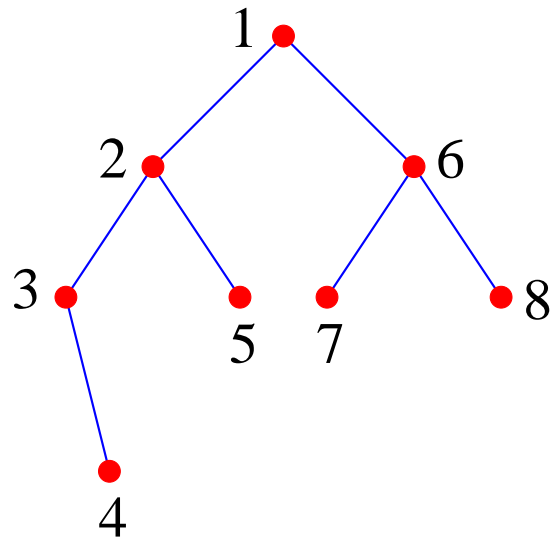
3425 768

part of the subject of **pattern avoidance**

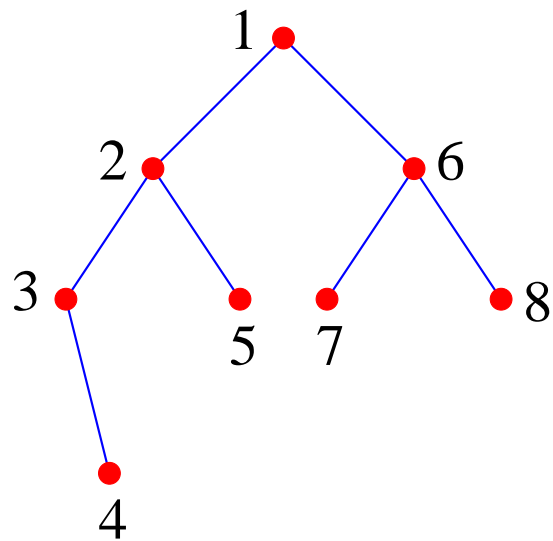
Bijection with binary trees



The tree for 34251768



The tree for 34251768



Note. If we read the vertices in preorder, we obtain 12345678.

Exercise. This gives a bijection between 312-avoiding permutations and binary trees.

321-avoiding permutations

Another example of pattern avoidance:

115. Permutations $a_1 a_2 \cdots a_n$ of $1, 2, \dots, n$ with longest decreasing subsequence of length at most two (i.e., there does not exist $i < j < k$, $a_i > a_j > a_k$), called **321-avoiding** permutations

123 213 132 312 231

321-avoiding permutations

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123 213 132 312 231

more subtle: no obvious decomposition into two pieces

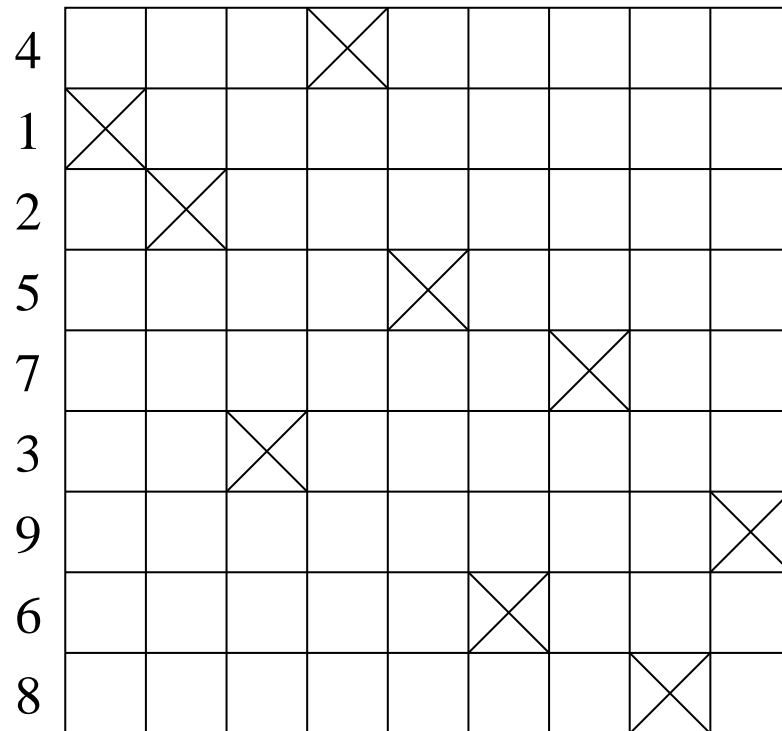
Bijection with Dyck paths



$$w = 412573968$$

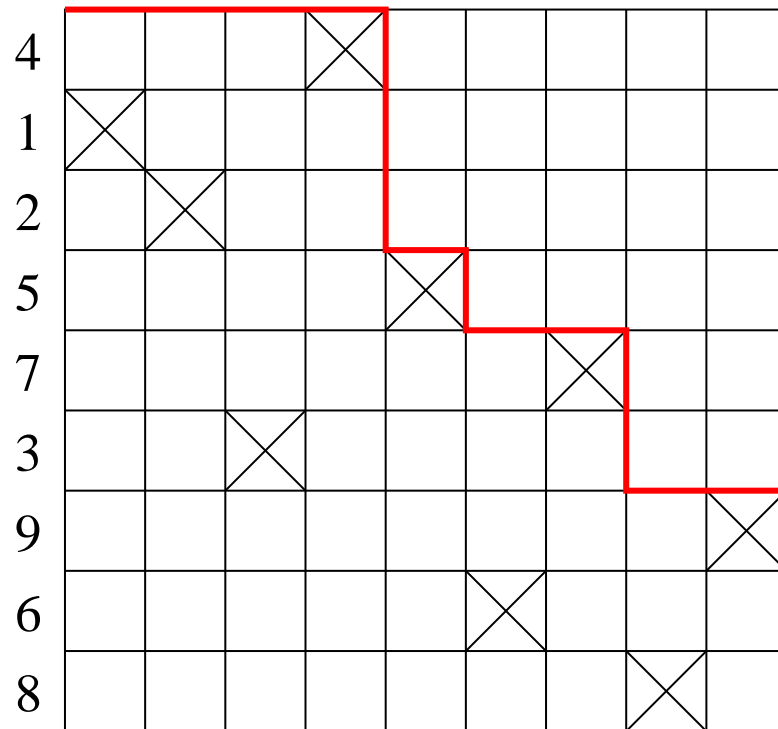
Bijection with Dyck paths

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Bijection with Dyck paths

$$w = 412573968$$



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, then replace bar with 1 and a number with -1 , except last two

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1 2 5 3 4 1

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1 | 2 **5** 3 4 1

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Bijection with ballot sequences

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1||2 **5** | **3** **4** 1

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→ 1 - 11 - -1-

Analysis

A65.(b)

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

Analysis

A65.(b)

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$$1 + 1 + \frac{1}{2} + \frac{1}{5} = 2.7$$

Analysis

A65.(b)

$$\sum_{n \geq 0} \frac{1}{C_n} = 2 + \frac{4\sqrt{3}\pi}{27} = 2.806 \dots$$

$$1 + 1 + \frac{1}{2} + \frac{1}{5} = 2.7$$

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?

A65.(a)

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

Sketch of solution. Calculus exercise: let

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

Then $y = \sum_{n \geq 1} \frac{x^n}{n^2 \binom{2n}{n}}.$

Completion of proof

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

Completion of proof

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

$$\frac{d}{dx} y = \sum_{n \geq 1} \frac{x^{n-1}}{n \binom{2n}{n}}$$

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

$$x \frac{d}{dx} y = \sum_{n \geq 1} \frac{x^n}{n \binom{2n}{n}}$$

Completion of proof

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

$$\frac{d}{dx} x \frac{d}{dx} y = \sum_{n \geq 1} \frac{x^{n-1}}{\binom{2n}{n}}$$

Completion of proof

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

$$x^2 \frac{d}{dx} x \frac{dx}{x} y = \sum_{n \geq 1} \frac{x^{n+1}}{\binom{2n}{n}}$$

Completion of proof

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

$$\frac{d}{dx} x^2 \frac{d}{dx} x \frac{dx}{x} y = \sum_{n \geq 1} \frac{(n+1)x^n}{\binom{2n}{n}}$$

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.

The last slide

The last slide



The last slide



THE
END

11A

12

11A

12