

From order one catalytic decompositions to context-free specifications, bijectively

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CONTEXT-FREE SPECIFICATIONS

Enumerative combinatorics and generating functions

Let \mathcal{A} be a set of combinatorial objects equipped with an integer size $|\cdot|$ and assume that for each n the set

$$\mathcal{A}_n = \{a \in \mathcal{A} \text{ s.t. } |a| = n\}$$

is finite, and let $a_n = |\mathcal{A}_n|$ denote its cardinality.

The **generating function** (gf) of the class \mathcal{A} w.r.t. the size is

$$A \equiv A(t) := \sum_{n \geq 0} a_n t^n = \sum_{\alpha \in \mathcal{A}} t^{|\alpha|}$$

Refined enumeration:

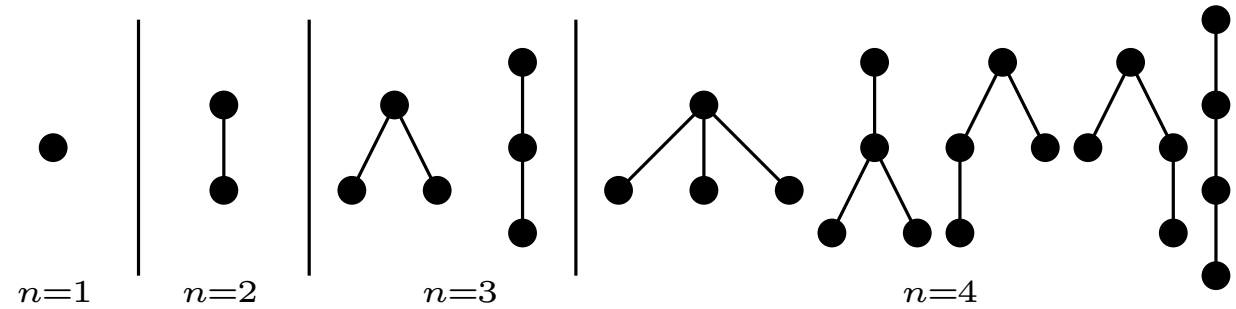
$$A(u) \equiv A(u, t) := \sum_{n, k \geq 0} a_{k, n} u^k t^n = \sum_{\alpha \in \mathcal{A}} u^{p(\alpha)} t^{|\alpha|}$$

for some parameter $p : \mathcal{A} \rightarrow \mathbb{Z}$, and $a_{k, n} = |\{a \in \mathcal{A}_n \mid p(a) = k\}|$

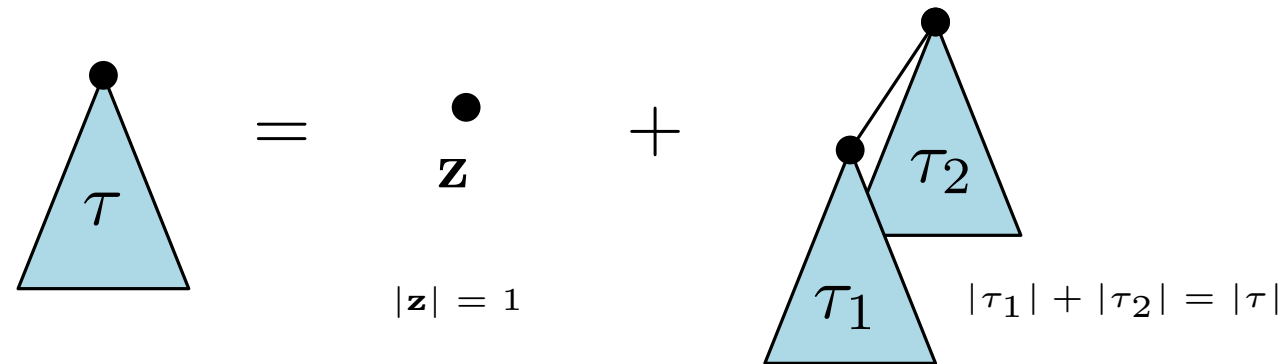
Plane trees

Plane trees (aka ordered trees)

$$\mathcal{A}_n = \{\text{plane trees with } n \text{ vertices}\}$$



Characterized by their decomposition at root edge

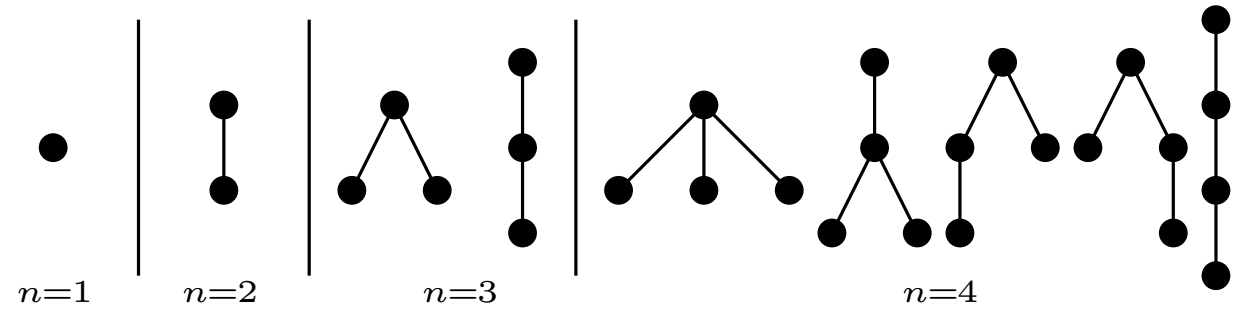


a size preserving recursive bijection

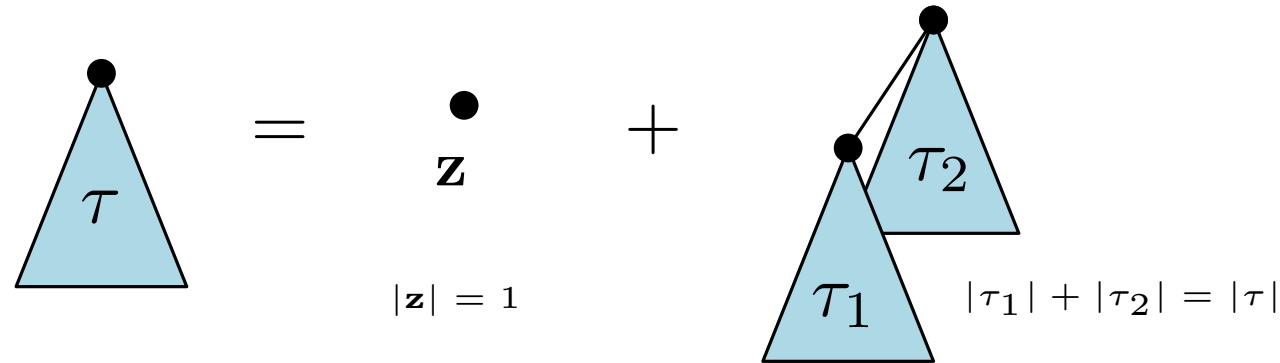
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$$\mathcal{A} \equiv \mathbf{z} + \mathcal{A} \times \mathcal{A}$$

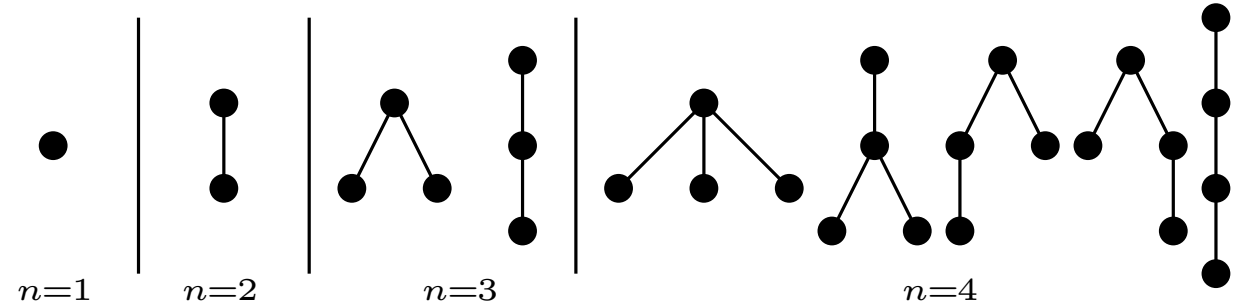
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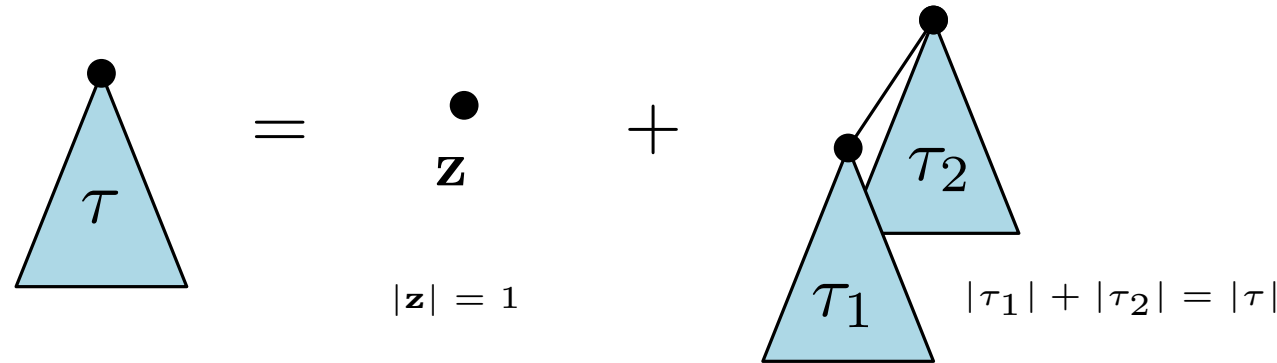
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Characterized by their decomposition at root edge

$$A(t) = t + t^2 + 2t^3 + 5t^4 + O(t^5)$$



$$\mathcal{A} \equiv \mathbf{z} + \mathcal{A} \times \mathcal{A}$$

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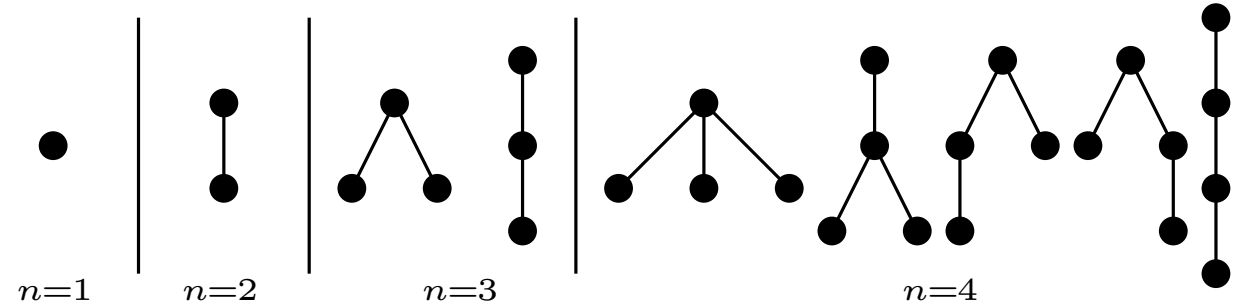
The gf translation:

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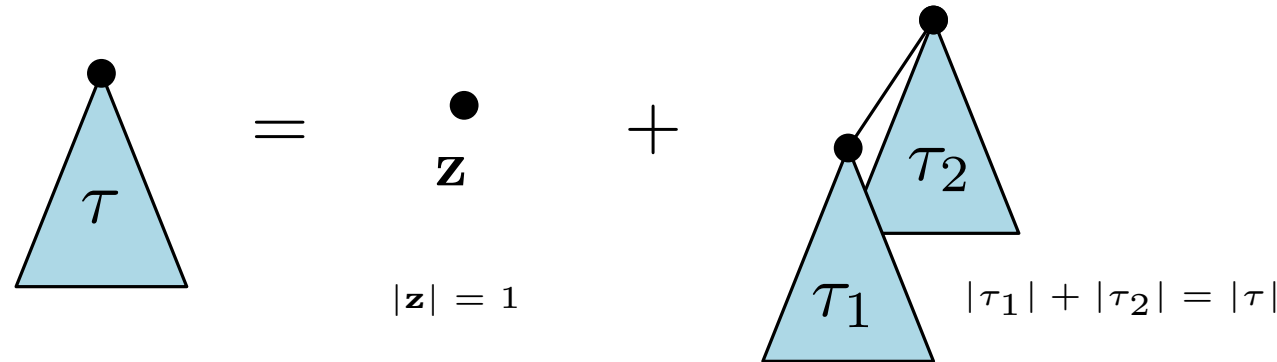
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Plane trees

A symbolic specification

$$\mathcal{A} \equiv \mathbf{z} + \mathcal{A} \times \mathcal{A}$$

with \mathbf{z} atom of size 1 and additive size

The gf translation

$$A(t) = t + A(t)^2$$

with unique sol $A(t) = \sum_{n \geq 0} a_n t^n$ in $\mathbb{C}[[t]]$.

Context free languages and algebraic specifications/decompositions

More generally we like particularly well funded **context-free specifications**:

$$\left\{ \begin{array}{lcl} \mathcal{F}^{(1)} & \equiv & \mathcal{P}^{(1)}(\mathbf{z}; \mathcal{F}^{(1)}, \dots, \mathcal{F}^{(k)}) \\ & \vdots & \\ \mathcal{F}^{(k)} & \equiv & \mathcal{P}^{(k)}(\mathbf{z}; \mathcal{F}^{(1)}, \dots, \mathcal{F}^{(k)}) \end{array} \right.$$

with each $\mathcal{P}^{(i)}$ a finite combination
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as their gf translation is an \mathbb{N} -algebraic system:

$$\left\{ \begin{array}{lcl} F^{(1)} & = & P^{(1)}(t; F^{(1)}, \dots, F^{(k)}) \\ & \vdots & \\ F^{(k)} & = & P^{(k)}(t; F^{(1)}, \dots, F^{(k)}) \end{array} \right.$$

with each $P^{(i)}$ a polynomial with
non negative coefficients, and with
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Combinatorial structures that admit such a context-free specification are **tamed**...

\Rightarrow **exact formulas or efficient enumeration algorithms**

\Rightarrow **asymptotic enumeration via singularity analysis**

\Rightarrow **linear time uniform random generation algorithms**

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Conversely when the gf of a combinatorial family \mathcal{A} is known to be \mathbb{N} -algebraic,
one would like to explain it via an encoding by words of a context-free grammar.

(Schützenberger's methodology for algebraic gf)

Context-free specifications and multitype simply generated trees

Context-free decompositions are naturally associated with multitype simply generated trees:

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Conversely when the gf of a combinatorial family \mathcal{A} is known to be \mathbb{N} -algebraic, one would like to explain it via a **context-free specification** of \mathcal{A} or via a **bijection with trees**.

(Standard reformulation of Schützenberger's methodology)

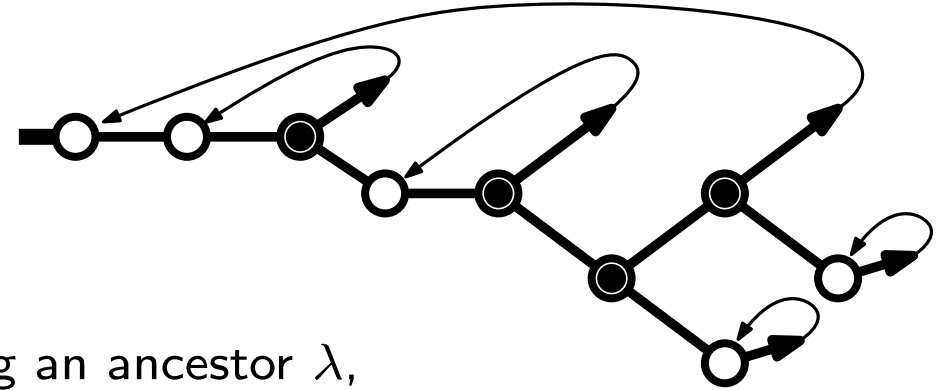
CATALYTIC DECOMPOSITIONS

The example of planar λ -terms

Planar λ -terms can be presented as trees with

- **applications:** binary nodes \bullet
- **λ -abstractions:** unary nodes \circ
- **variables:** leaves, represented as arrows \nearrow , each matching an ancestor λ ,

with condition that each λ is binded to exactly one variable in a planar way...



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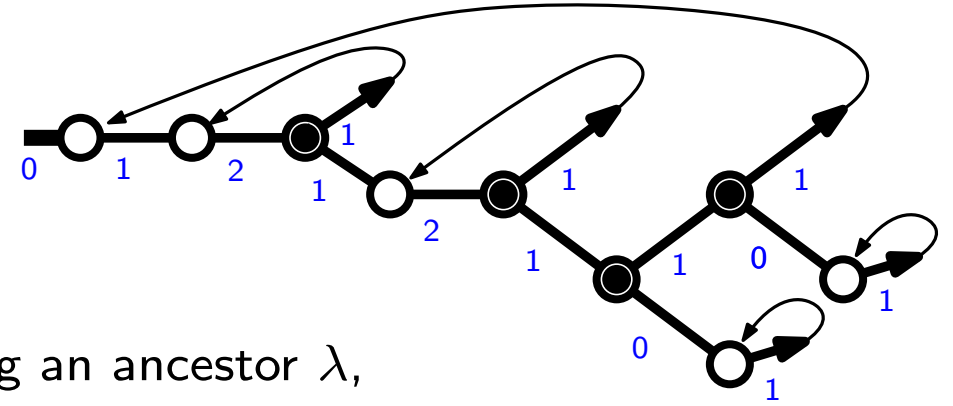
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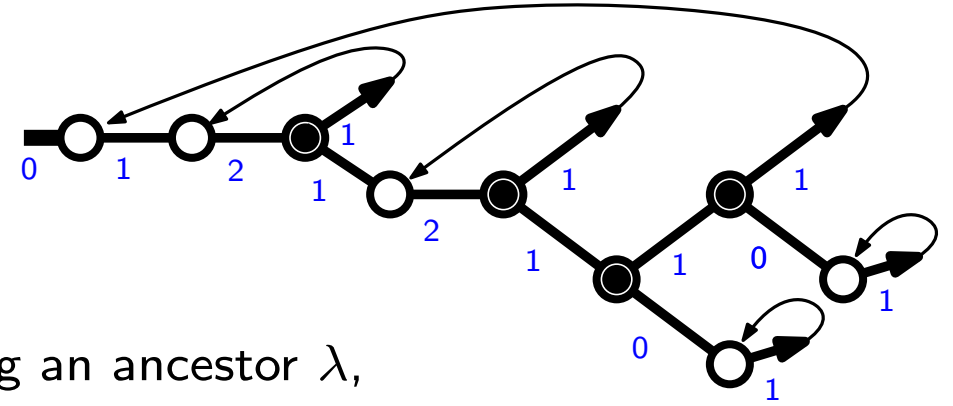
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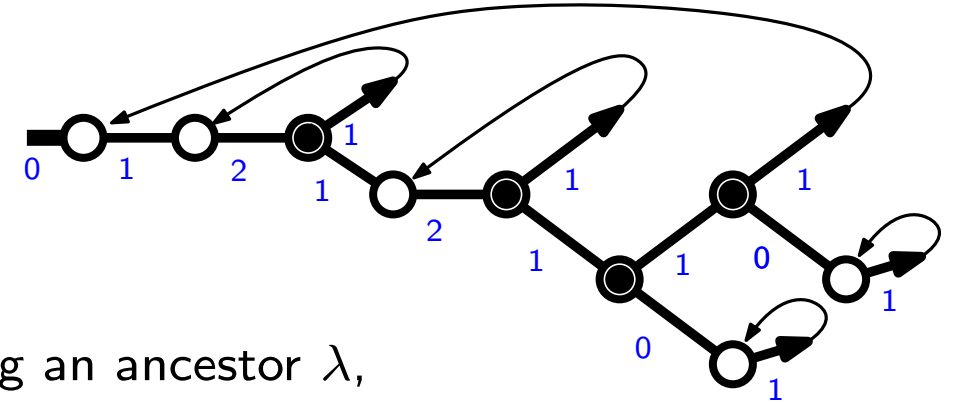


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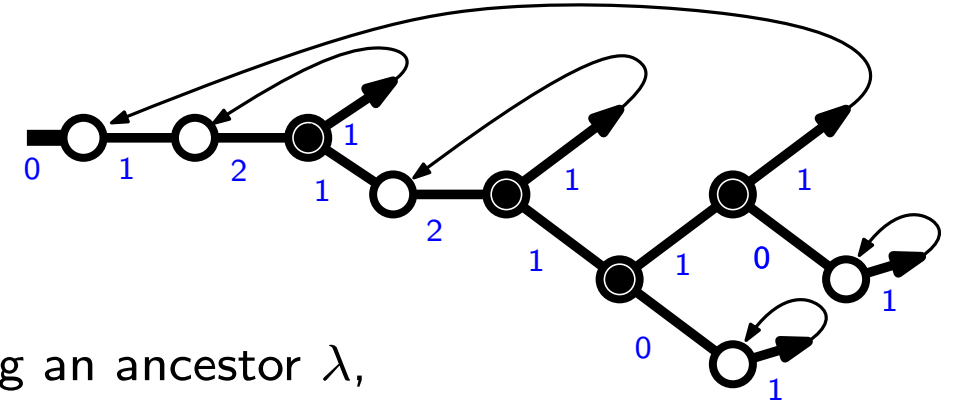
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$$P(u) = tu + tP(u)^2 + \frac{t}{u}(P(u) - P(0))$$

This equation is not algebraic, the decomposition is not context free.

1-variable catalytic equations

The equation $P(u) = t(u + P(u)^2 + \frac{1}{u}(P(u) - P(0)))$ is a special case of 1-variable catalytic equation,

$$Q(F(u), f_1, f_2, \dots, f_k, u, t) = 0$$

where Q is a polynomial with coefficients in some field \mathbb{F}

and we seek the unknown formal power series $F(u) \equiv F(t, u) \in \mathbb{F}[[t, u]]$ and $f_i \equiv f_i(t) \in \mathbb{F}[[t]]$.

These equations also surface in various other enumeration problems, for instance for

- Families of pattern avoiding permutations (Zeilberger 92, Bona, Bousquet-Mélou, late 90's)
- Families of Tamari intervals (Chapoton, 2000's, Bousquet-Mélou-Chapoton 2022)
- Families of Planar (normal) λ -terms (Zeilberger and Giorgiatti, 2015)
- Fighting fish and variants (Duchi et al, 2016)
- Fully parked trees (Chen 2021, Contat et al 2023)
- ...

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The celebrated **Bousquet-Mélou – Jehanne theorem** states that 1-variable catalytic equations of the form

$$F(u) = F_0(u) + tQ(F(u), \Delta F(u), \dots, \Delta^k F(u), u, t)$$

where $F_0(u)$ and $Q(v, w_1, \dots, w_k, u)$ are polynomials with coefficients in \mathbb{F} , and

$$\Delta^k F(u) = \frac{F(u) - f_1 - uf_2 - \dots - u^{k-1}f_k}{u^k},$$

have unique solutions, and it provides a non degenerated system of algebraic equations that they satisfy.

Explicit BMJ theorem for order one 1-catalytic equations

Let $Q(v, w, u)$ be a polynomial with $Q(0, 0, u) \neq 0$

and $F(u) \equiv F(t, u)$ the unique fps solution of the catalytic equation

$$F(u) = t Q \left(F(u), \frac{1}{u}(F(u) - f), u \right), \quad \text{where } f \equiv f(t) = F(t, 0).$$

Let U, V, W and R be the unique fps satisfying the system

$$\begin{cases} V &= t \cdot Q(V, W, U) \\ R &= t \cdot (1 + R) \cdot Q'_v(V, W, U) \\ U &= t \cdot (1 + R) \cdot Q'_w(V, W, U) \\ W &= t \cdot (1 + R) \cdot Q'_u(V, W, U) \end{cases}$$

Then f is given by $f = V - UW$ or $tf'_t = (1 + R) \cdot V$

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$$P(u) = t(u + P(u)^2 + \frac{1}{u}(P(u) - P(0)))$$

$$\begin{cases} V &= t \cdot (U + V^2 + W) \\ R &= t \cdot (1 + R) \cdot 2V \\ U &= t \cdot (1 + R) \\ W &= t \cdot (1 + R) \end{cases}$$

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\Rightarrow The particularly simple form of this parametrization calls for a combinatorial lifting.

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Then f is given by $f = V - UW$ or $tf'_t = (1 + R) \cdot V$

\Rightarrow The particularly simple form of this parametrization calls for a combinatorial lifting.

\Rightarrow When Q is a polynomial with integer coefficients, the system is \mathbb{N} -algebraic !

Explicit BMJ theorem for order one 1-catalytic equations

Let $Q(v, w, u)$ be a polynomial with $Q(0, 0, u) \neq 0$

and $F(u) \equiv F(t, u)$ the unique fps solution of the catalytic equation

$$F(u) = t Q \left(F(u), \frac{1}{u}(F(u) - f), u \right), \quad \text{where } f \equiv f(t) = F(t, 0).$$

Let U, V, W and R be the unique fps satisfying the system

$$\begin{cases} V &= t \cdot Q(V, W, U) \\ R &= t \cdot (1 + R) \cdot Q'_v(V, W, U) \\ U &= t \cdot (1 + R) \cdot Q'_w(V, W, U) \\ W &= t \cdot (1 + R) \cdot Q'_u(V, W, U) \end{cases}$$

$$P(u) = t(u + P(u)^2 + \frac{1}{u}(P(u) - P(0)))$$

$$\begin{cases} V &= t \cdot (U + V^2 + W) \\ R &= t \cdot (1 + R) \cdot 2V \\ U &= t \cdot (1 + R) \\ W &= t \cdot (1 + R) \end{cases}$$

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\Rightarrow The particularly simple form of this parametrization calls for a combinatorial lifting.

\Rightarrow When Q is a polynomial with integer coefficients, the system is \mathbb{N} -algebraic !

\Rightarrow explain it via a **bijection with some simply generated trees**.

A MODEL FOR CATALYTIC EQUATIONS

Decorated trees and non negative trees

non-negative \mathcal{Q} -tree = necklace tree s.t.
the excess at each pearl is non negative.

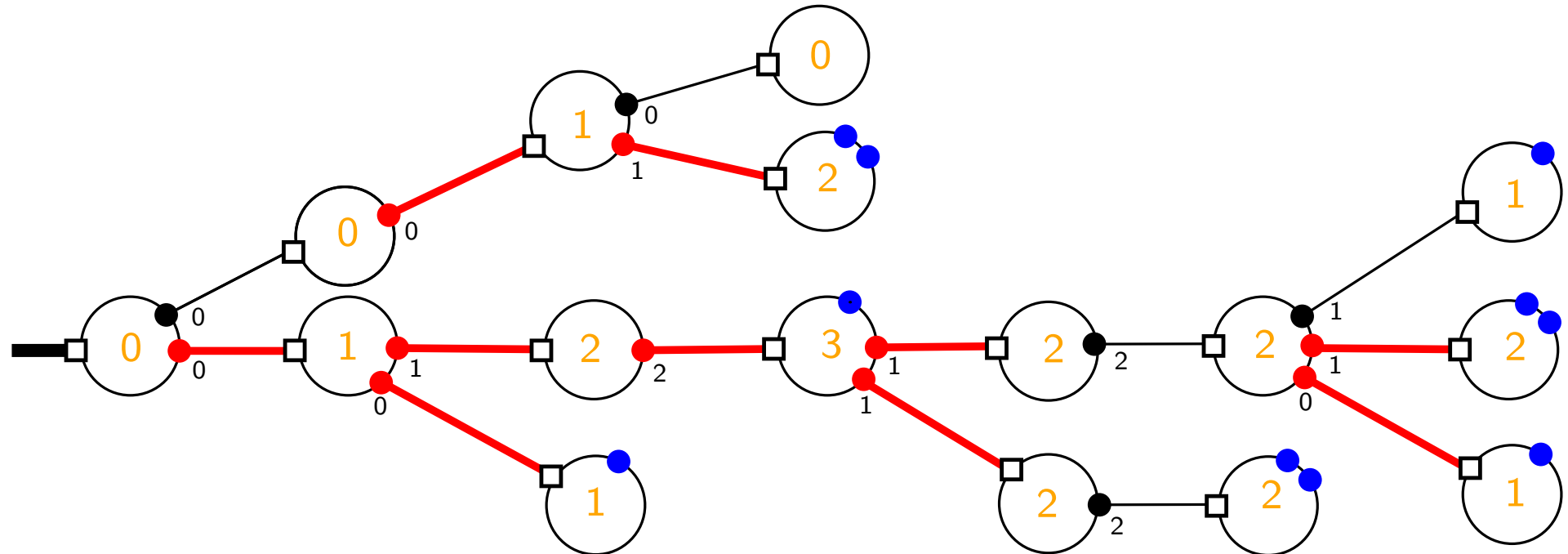
$$\mathcal{Q} = \left\{ \begin{array}{c} \text{Diagram 1} \\ \text{Diagram 2} \\ \vdots \end{array} \right\}$$

- , • are all matched.
- $\#\{\bullet\} \geq \#\{\bullet\}$
in planted subtrees

Observe:

slightly stronger condition than
just asking non negative excess on vertices

$$\text{excess} = \#\{\bullet\} - \#\{\bullet\}$$



Non negative \mathcal{Q} -trees and catalytic equations

Let $\mathcal{F} = \{ \text{non-negative } \mathcal{Q}\text{-trees} \},$

$$\mathcal{Q} = \left\{ \begin{array}{c} \text{[diagram: a cycle with 4 vertices, 2 blue, 2 red, and a grey shaded interior]} \\ \dots \end{array} \right\}$$

\bullet, \bullet are all matched.
 $\#\{\bullet\} \geq \#\{\bullet\}$
 in planted subtrees

$Q(v, w, u) = \sum_{s \in \mathcal{Q}} q_s v^{\bullet(s)} w^{\bullet(s)} u^{\bullet(s)}$ the vertex type gf, where q_s are weights

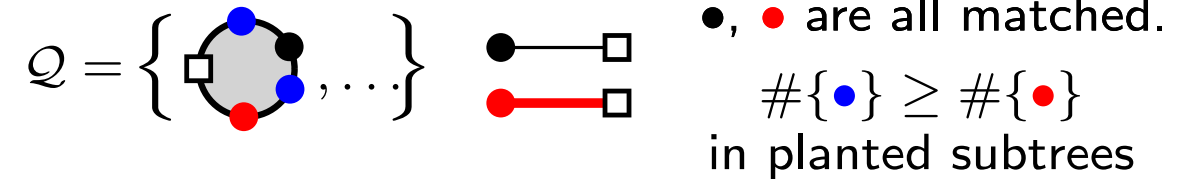
and $F(u) \equiv F(t, u) = \sum_{\tau \in \mathcal{F}} q_\tau t^{|\tau|} u^{\text{excess}(\tau)}$, where $q_\tau = \prod_{s \in \tau} q_s$

Proposition. The gf $F(u)$ of non negative \mathcal{Q} -trees satisfies a catalytic equation of order one:

$$F(u) = tQ\left(F(u), \frac{1}{u}(F(u) - F(0)), u\right)$$

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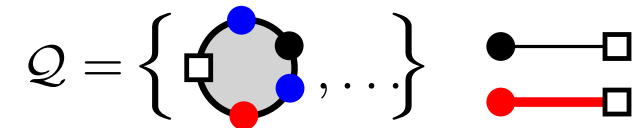
Indeed the equation

$$F(u) = t \sum_{s \in \mathcal{Q}} q_s F(u)^{\bullet(s)} \left(\frac{1}{u}(F(u) - F(0)) \right)^{\bullet(s)} u^{\bullet(s)}$$

follows from a decomposition at the root: $\mathcal{F} \equiv \sum_{s \in \mathcal{Q}} q_s \cdot \begin{array}{c} \text{[Diagram: a cycle with 4 vertices, 2 blue and 2 red]} \\ \text{[Diagram: a path of 2 vertices, 1 black and 1 white]} \end{array}$ where $\mathcal{F}^+ = \mathcal{F} \setminus f$

Non negative \mathcal{Q} -trees and catalytic equations

Let $\mathcal{F} = \{ \text{non-negative } \mathcal{Q}\text{-trees} \},$



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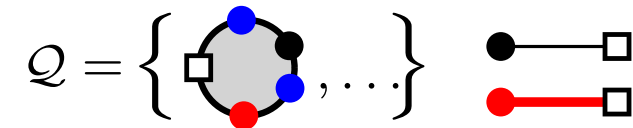
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Non negative \mathcal{Q} -trees and catalytic equations

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Non-negative \mathcal{Q} -trees are generic derivation trees for catalytic decompositions.

FROM CATALYTIC DECOMPOSITIONS
TO CONTEXT FREE SPECIFICATIONS

Non negative \mathcal{Q} -trees and companion \mathcal{Q} -trees

non-negative \mathcal{Q} -tree = necklace tree s.t.
 necklaces are in \mathcal{Q}
 the excess at each pearl is non negative.

$$\mathcal{Q} = \left\{ \begin{array}{c} \text{[diagram of a necklace with 3 pearls: top-left black, top-right blue, bottom red]} \\ \text{[diagram of a necklace with 2 pearls: top black, bottom red]} \end{array} , \dots \right\}$$

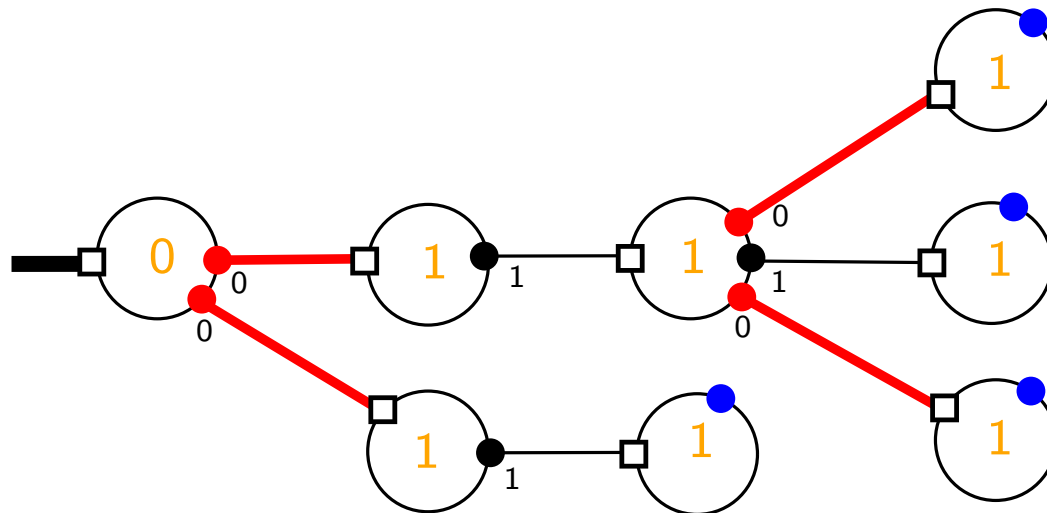
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$\bullet, \bullet, \bullet$ are all matched.

THEOREM (Duchi-S. 23). **Rewiring** is a vertex type preserving bijection
 between non negative \mathcal{Q} -trees and **balanced** companion \mathcal{Q} -trees



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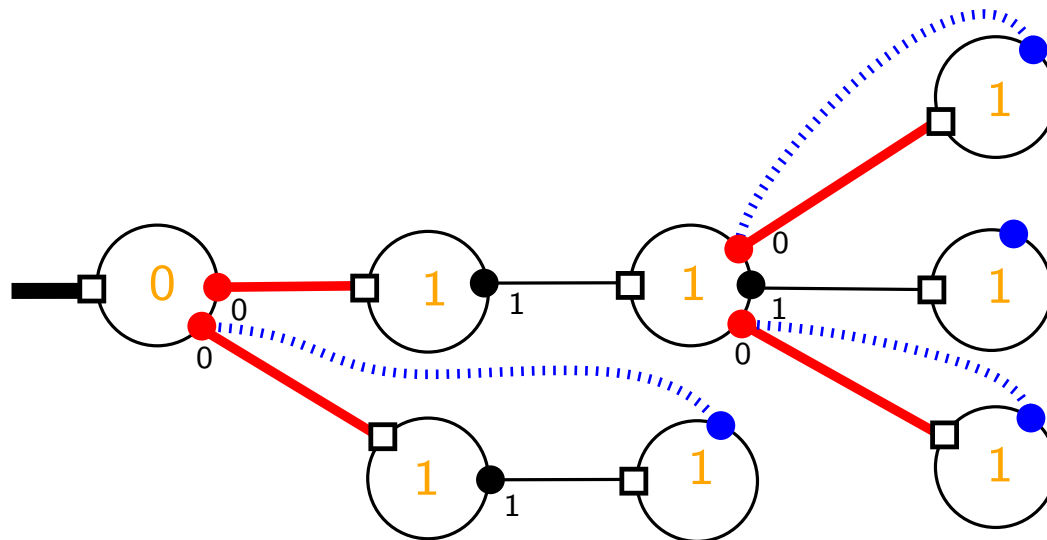
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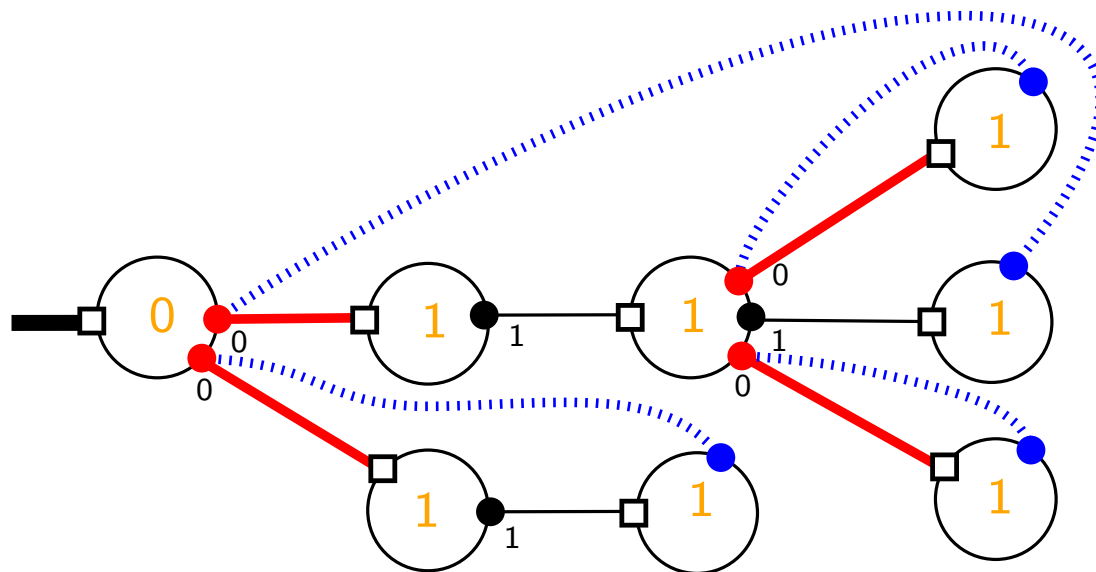
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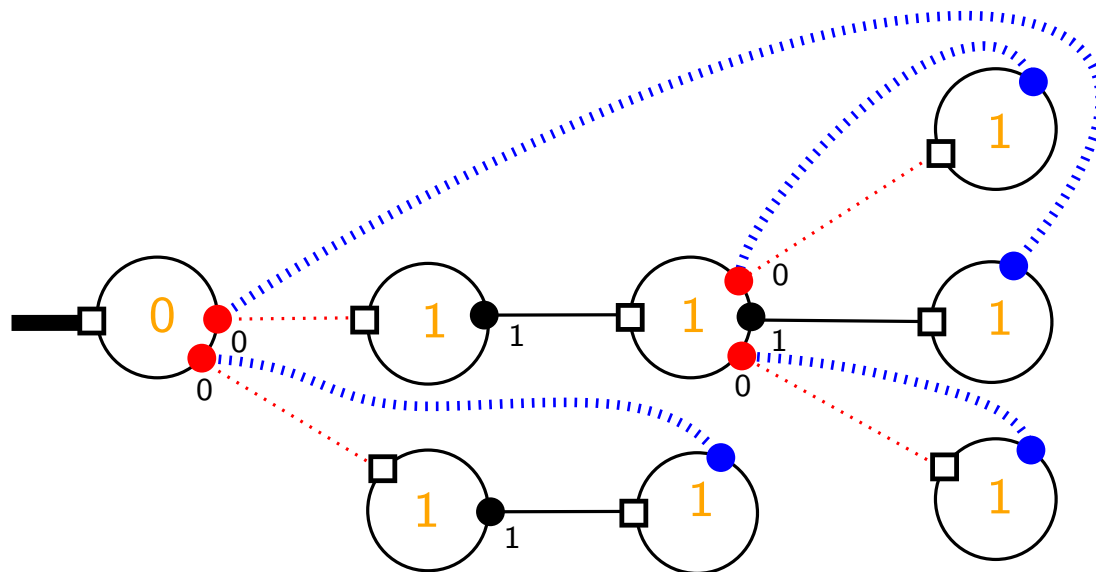
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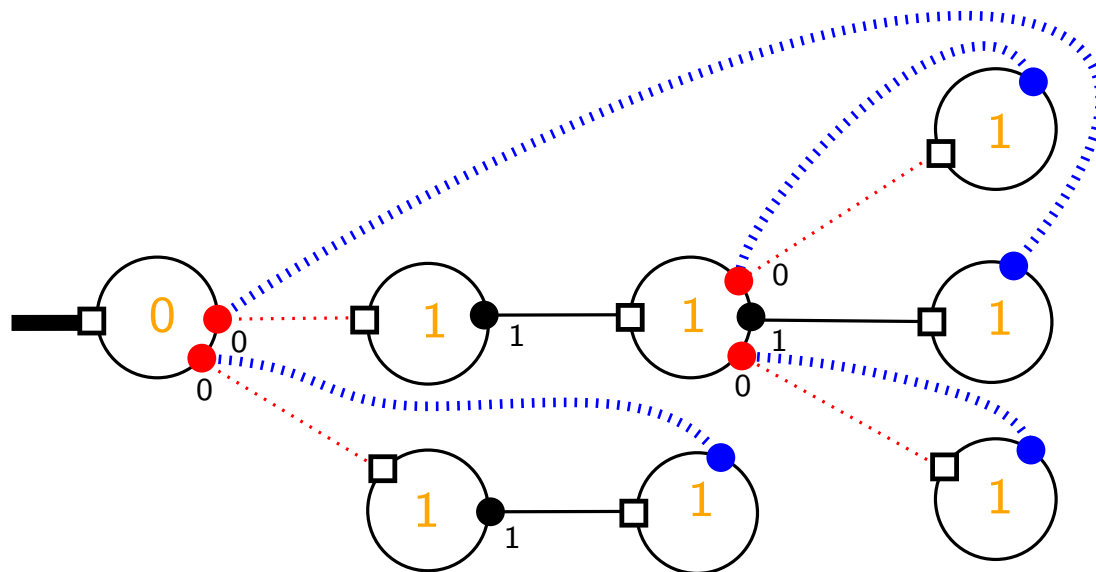
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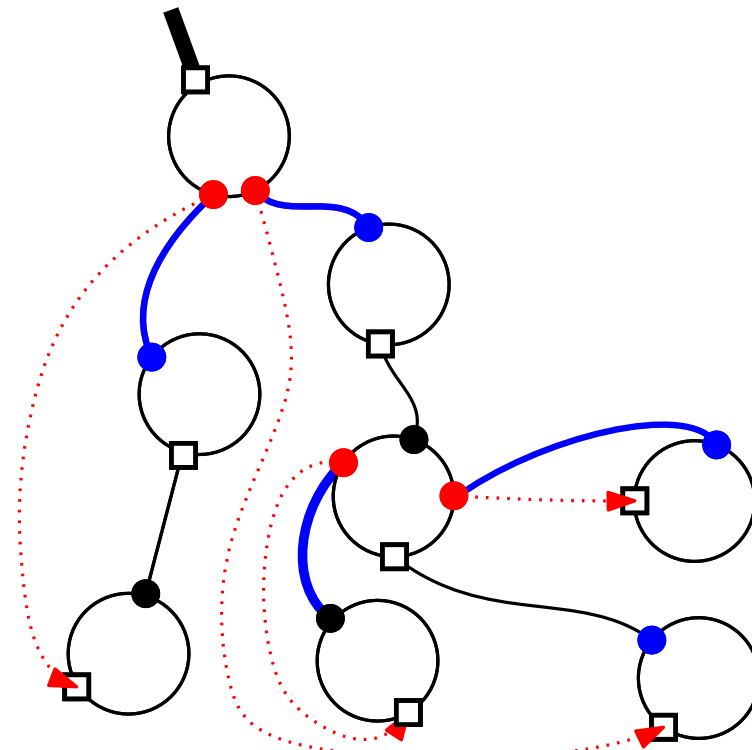
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REWIRING
REWIRING



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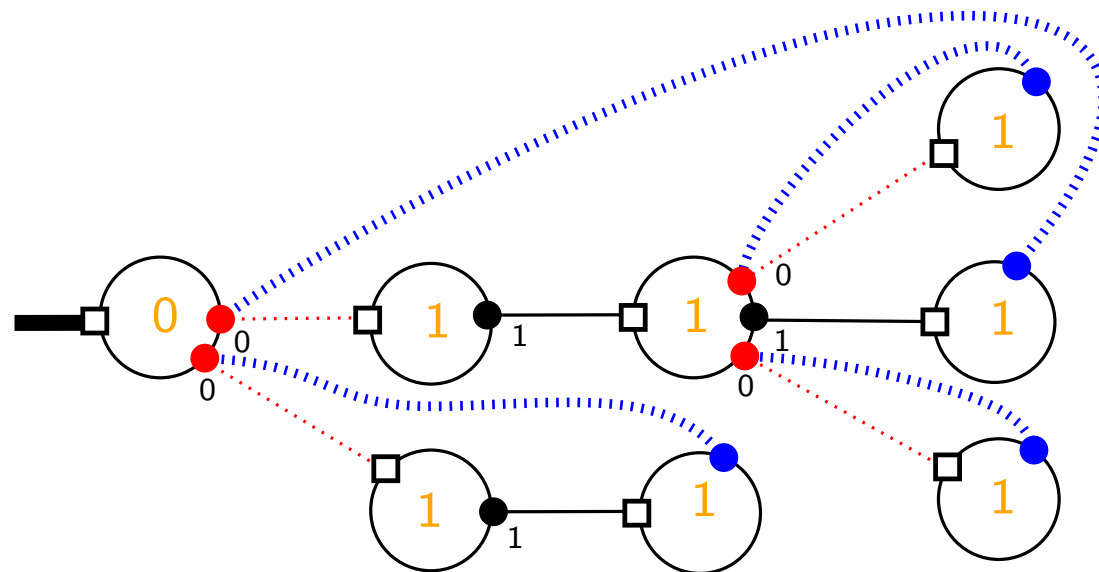
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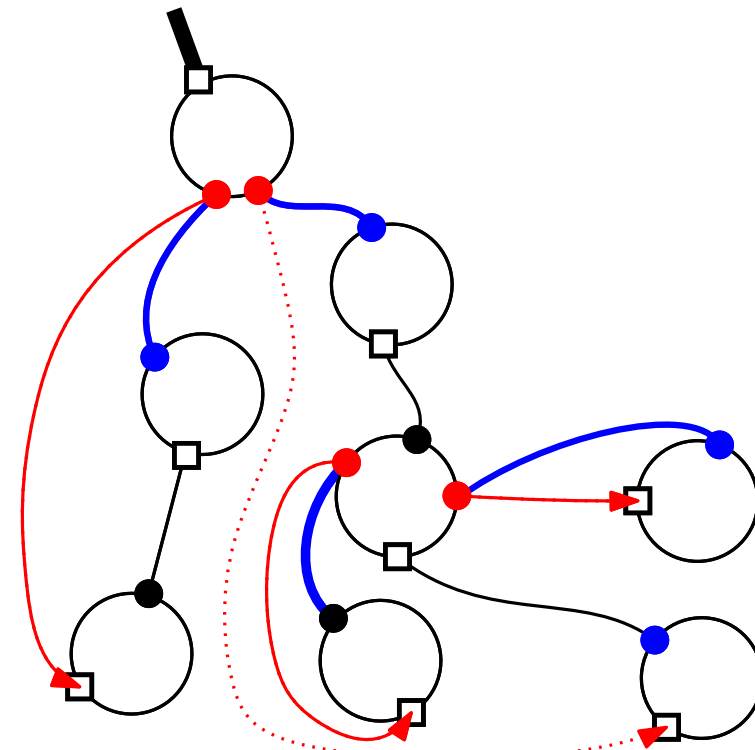
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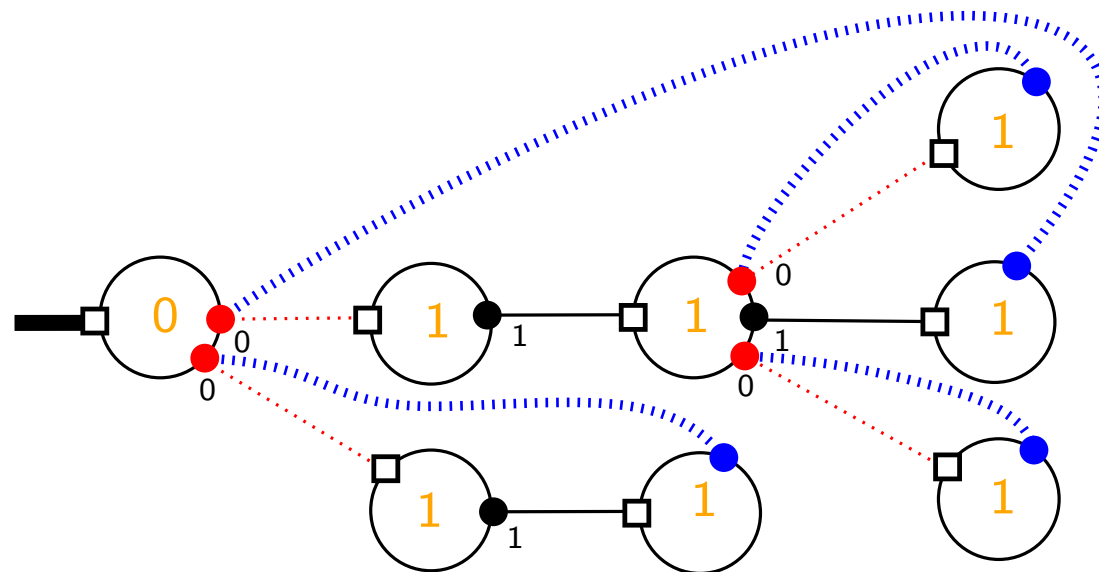
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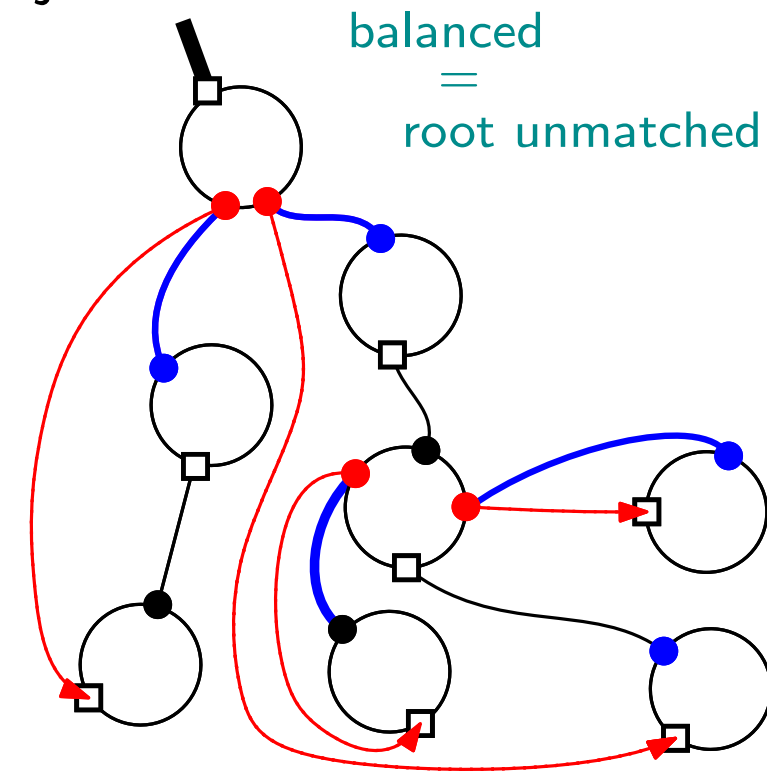
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REWIRING
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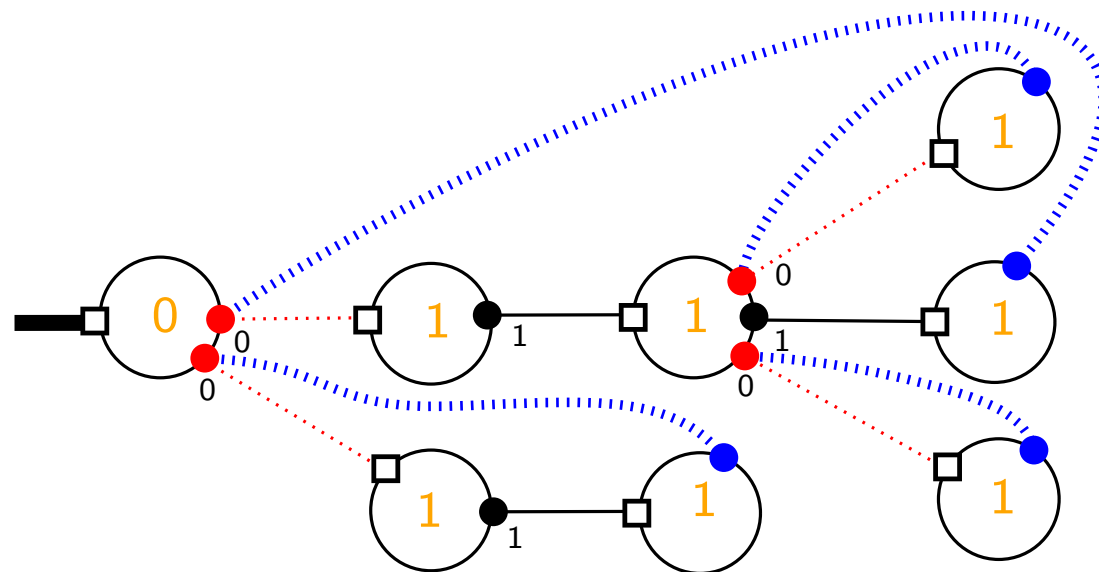
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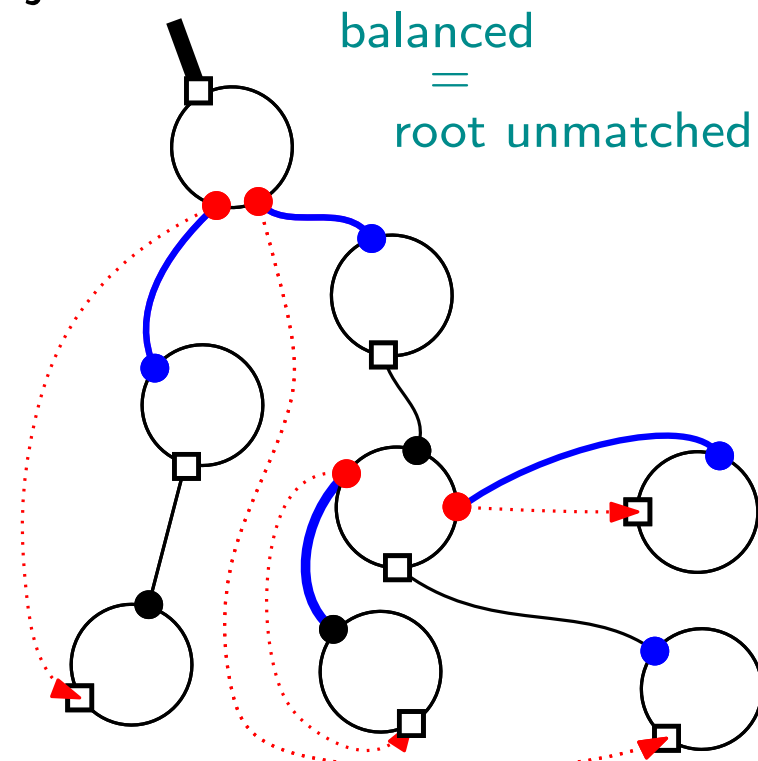
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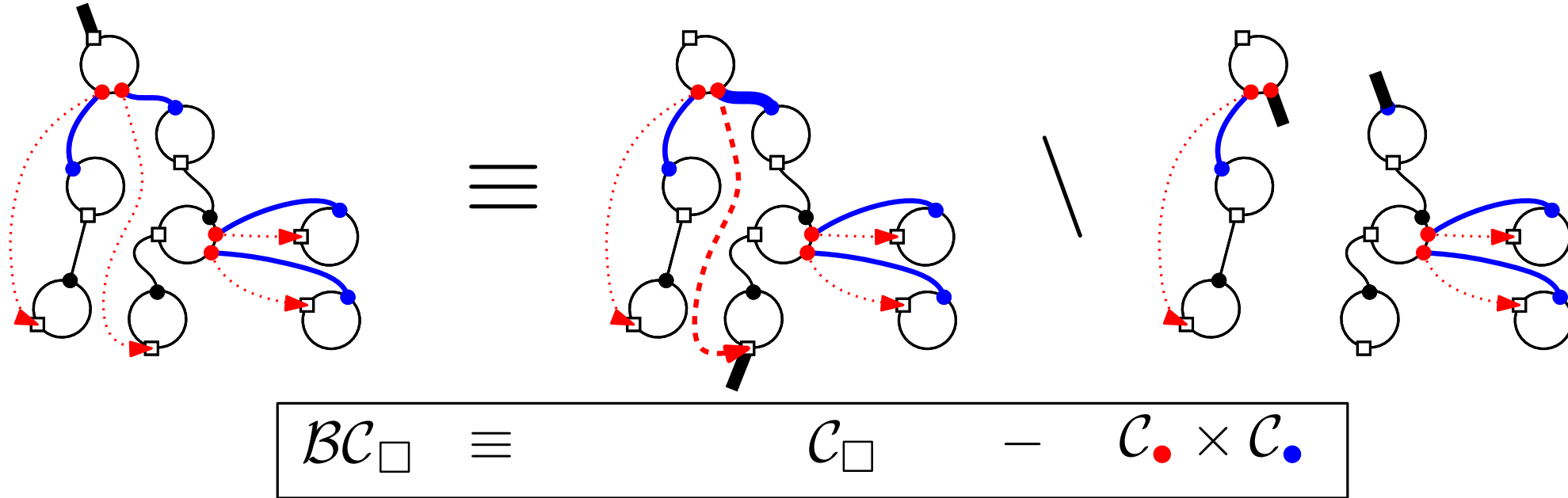
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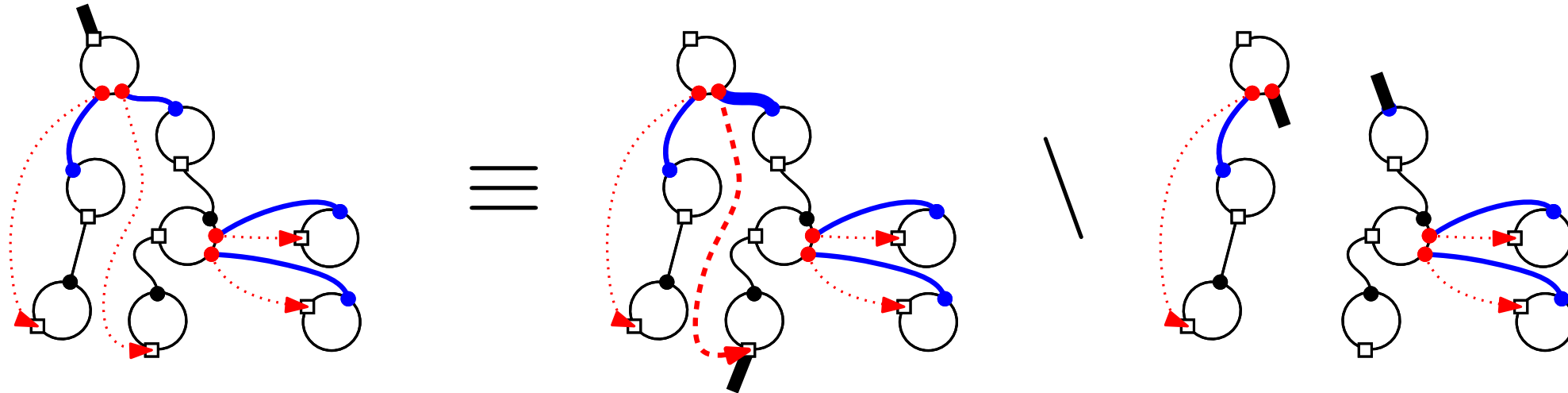
REWIRING
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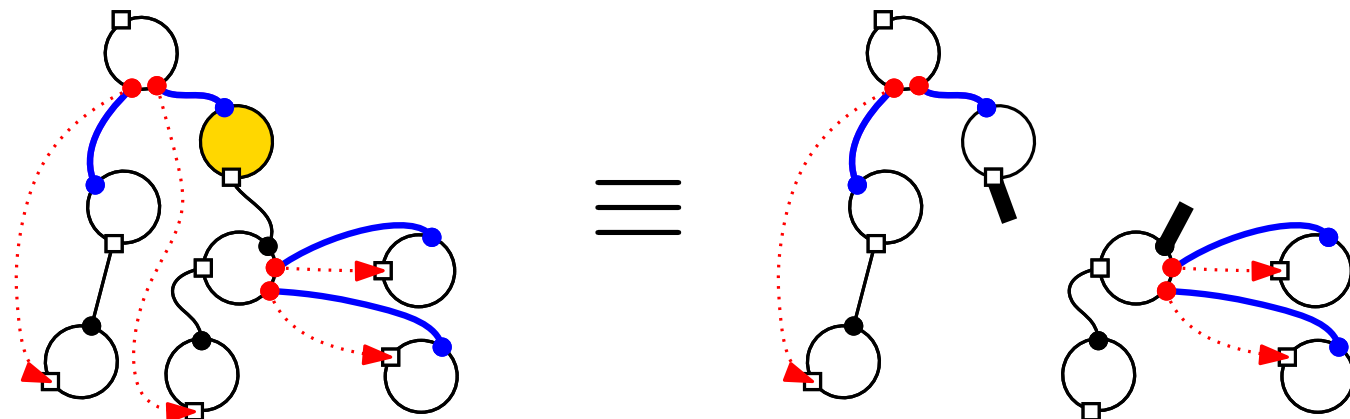
Balanced companion \mathcal{Q} -trees VS rooted companion \mathcal{Q} -trees



Balanced companion \mathcal{Q} -trees VS rooted companion \mathcal{Q} -trees



$$\mathcal{BC}_{\square} \equiv \mathcal{C}_{\square} - \mathcal{C}_{\bullet} \times \mathcal{C}_{\bullet}$$

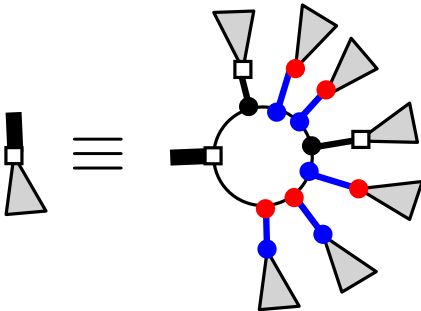


$$\mathcal{C}^{\circ} \equiv \mathcal{C}_{\square} \times (\varepsilon + \mathcal{C}_{\bullet})$$

Context-free specifications for companion \mathcal{Q} -trees

$$C_{\square} = \mathcal{Z} \times Q(C_{\square}, C_{\bullet}, C_{\circ})$$

$$Q(v, w, u) = \sum_{s \in \mathcal{Q}} q_s v^{\bullet(s)} w^{\circ(s)} u^{\circ(s)}$$

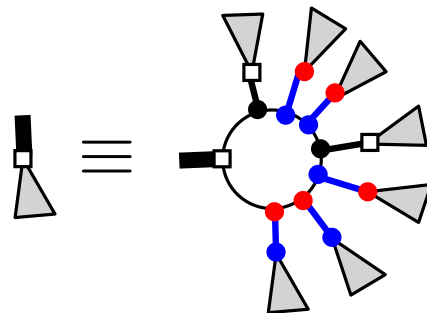


$$\mathcal{Q} = \{ \text{[tree diagram]}, \dots \}$$

Context-free specifications for companion \mathcal{Q} -trees

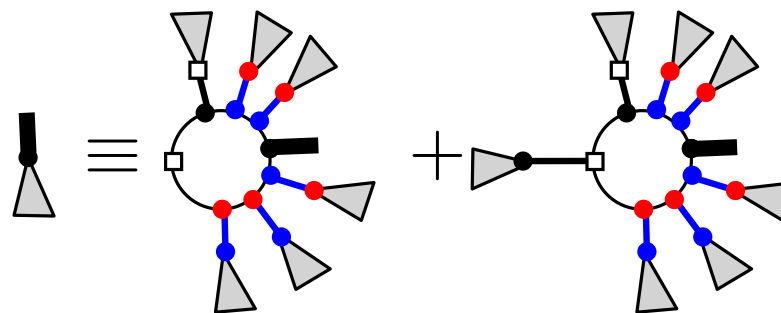
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$$\mathcal{Q} = \{ \text{cycle with root}, \dots \}$$

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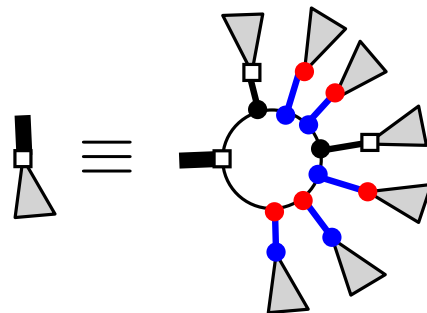


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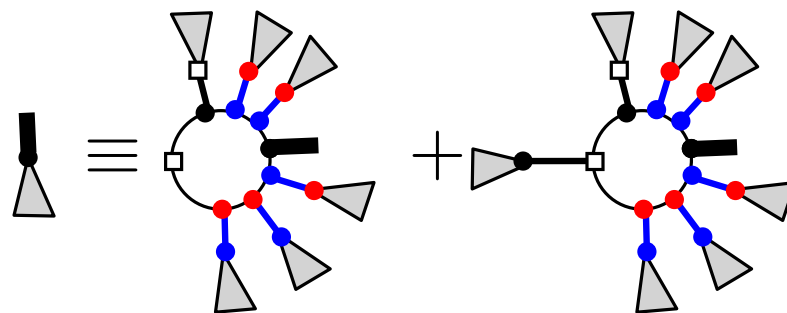
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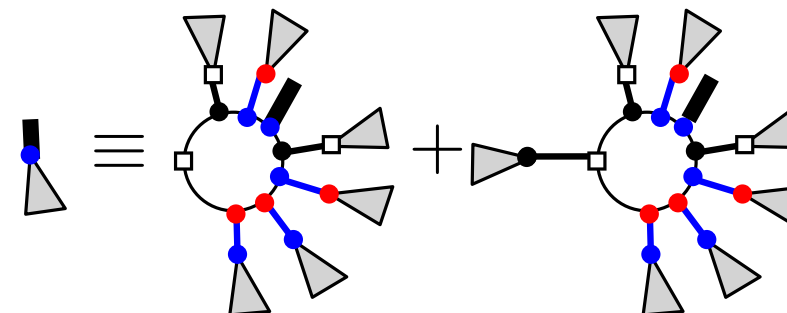
$$\mathcal{Q} = \{ \text{cycle with one black node}, \dots \}$$

$$C_{\bullet} = \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\square}, C_{\bullet}, C_{\bullet})$$



$$Q'_{\bullet} = \{ \text{cycle with one black node}, \text{cycle with one blue node}, \dots \}$$

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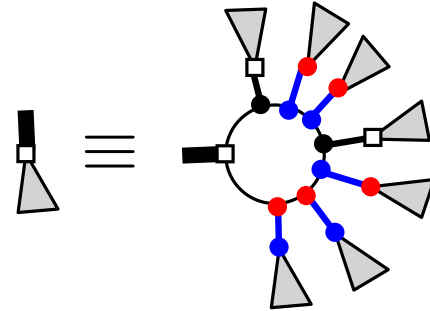


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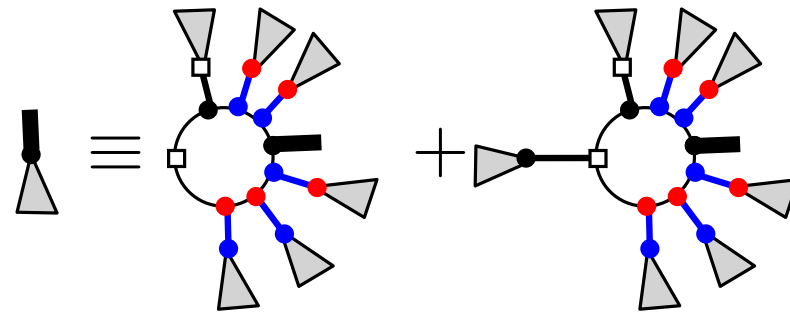
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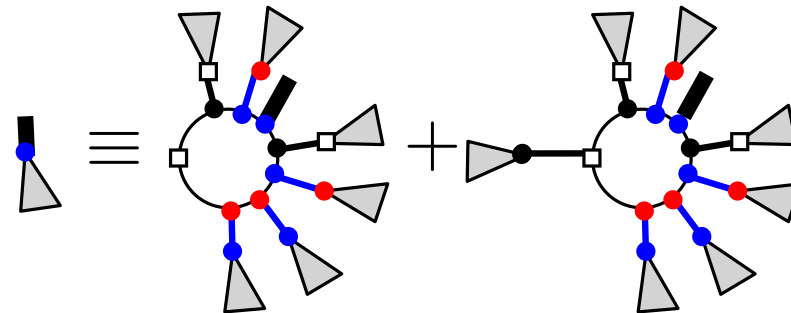
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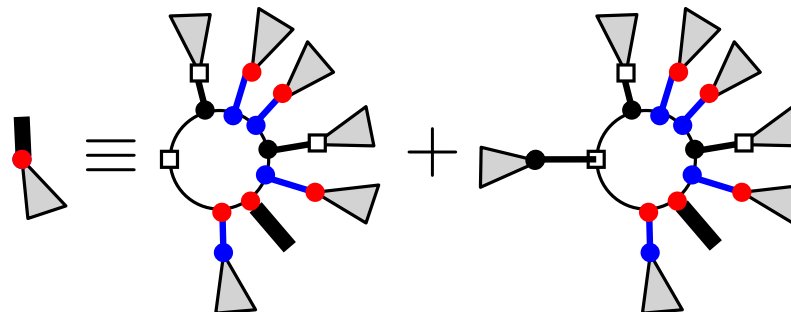
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$$Q'_{\bullet} = \{ \text{circular structure with nodes and edges} , \text{circular structure with nodes and edges} , \dots \}$$

The combinatorial lifting of BMJ theorem

THEOREM (Duchi-S. 23)

Let $\mathcal{F} \equiv \mathcal{Z} \times Q\left(\mathcal{F}, \frac{1}{u}(\mathcal{F} \setminus f), u\right)$ be a catalytic decomposition of order one

where $Q(v, w, u) = \sum_{s \in \mathcal{Q}} q_s v^{\bullet(s)} w^{\bullet(s)} u^{\bullet(s)}$ is the node gf of the associated non negative derivation \mathcal{Q} -trees

then

$$\begin{aligned} f &\stackrel{\text{rewiring}}{\equiv} C = C_{\square} - C_{\bullet} \times C_{\bullet} \\ f'_t &\stackrel{\text{rewiring}}{\equiv} C^{\circ} = (1 + C_{\bullet}) \times Q(C_{\square}, C_{\bullet}, C_{\bullet}) \end{aligned}$$

where the companion trees satisfy:

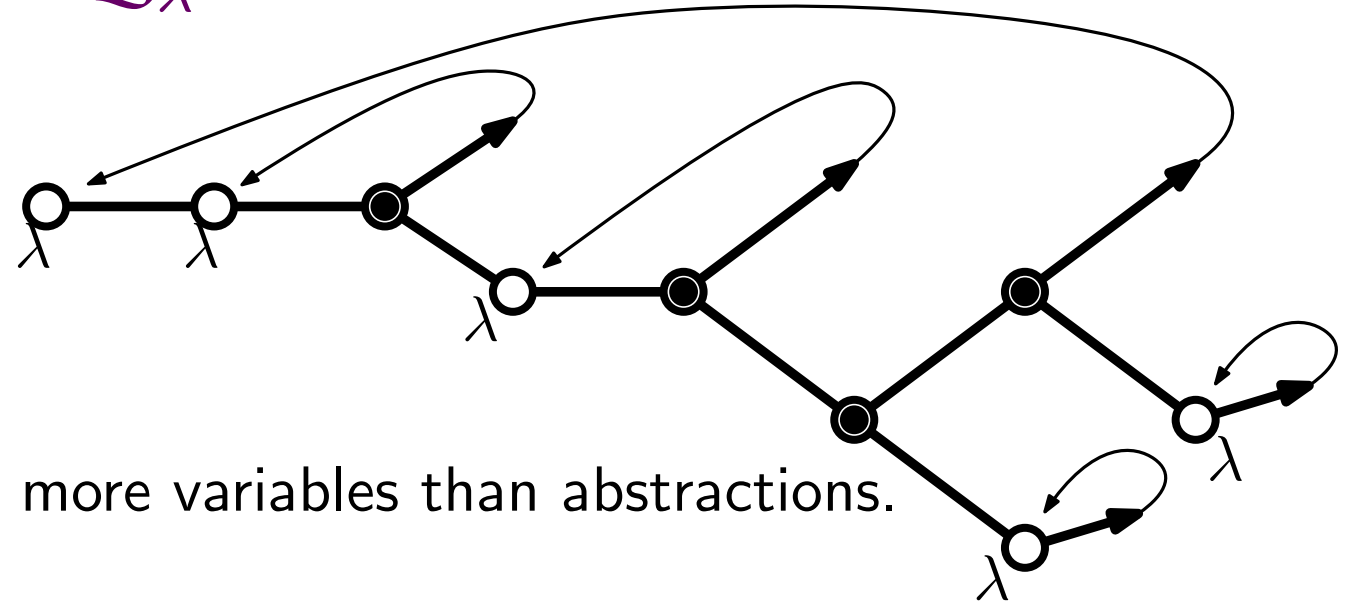
$$\left\{ \begin{array}{lcl} C_{\square} & = & \mathcal{Z} \times Q(C_{\square}, C_{\bullet}, C_{\bullet}) \\ C_{\bullet} & = & \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\square}, C_{\bullet}, C_{\bullet}) \\ C_{\bullet} & = & \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\square}, C_{\bullet}, C_{\bullet}) \\ C_{\bullet} & = & \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\square}, C_{\bullet}, C_{\bullet}) \end{array} \right.$$

Planar λ -terms and \mathcal{Q}_λ -trees

Open planar λ -term are to plane trees with

- applications: binary nodes
- abstractions: unary nodes
- variables: leaves, represented as arrow.

with condition that in each subterm there are more variables than abstractions.

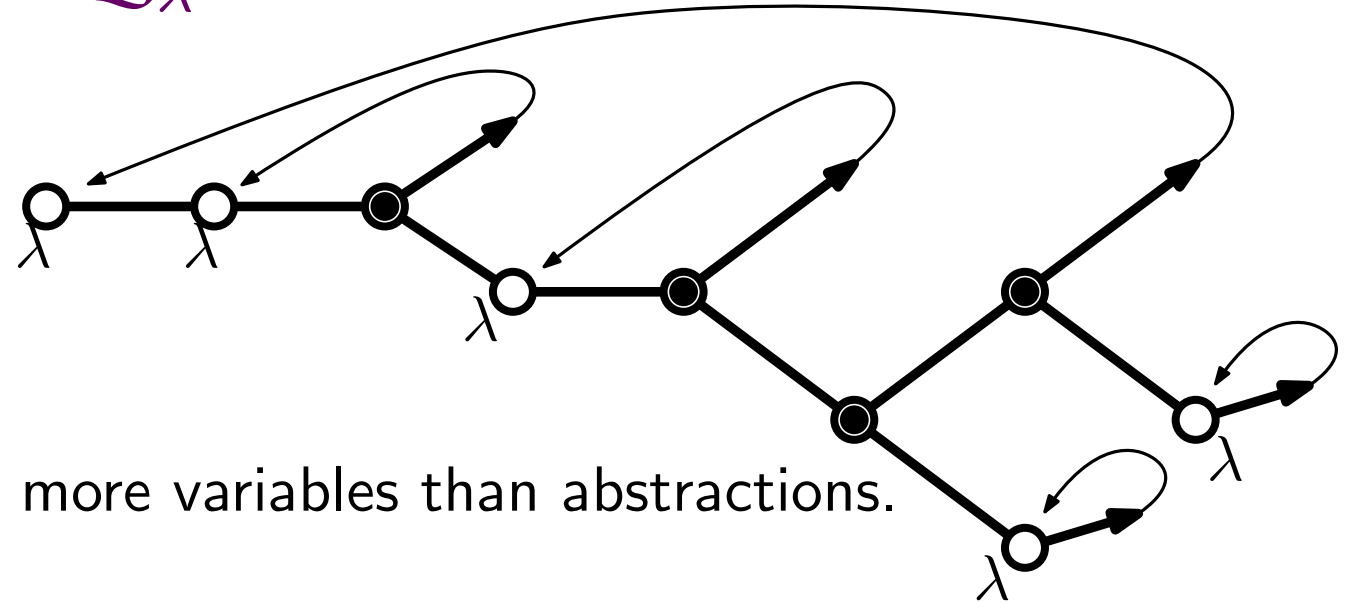


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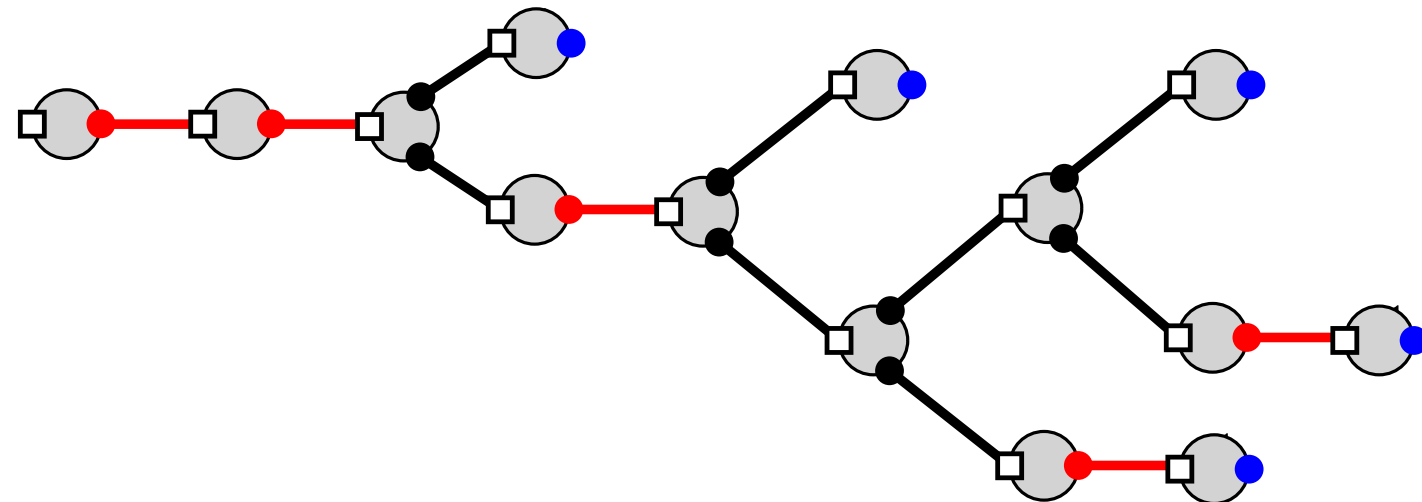


Mark variables with \bullet and abstractions λ with \bullet , then the set of vertex types is

$$\mathcal{Q}_\lambda = \{ \text{square node with blue dot}, \text{square node with red dot}, \text{square node with two black dots} \}$$

Then **non negative** \mathcal{Q}_λ -trees =
open planar λ -terms

non negative \mathcal{Q}_λ -trees with excess 0 =
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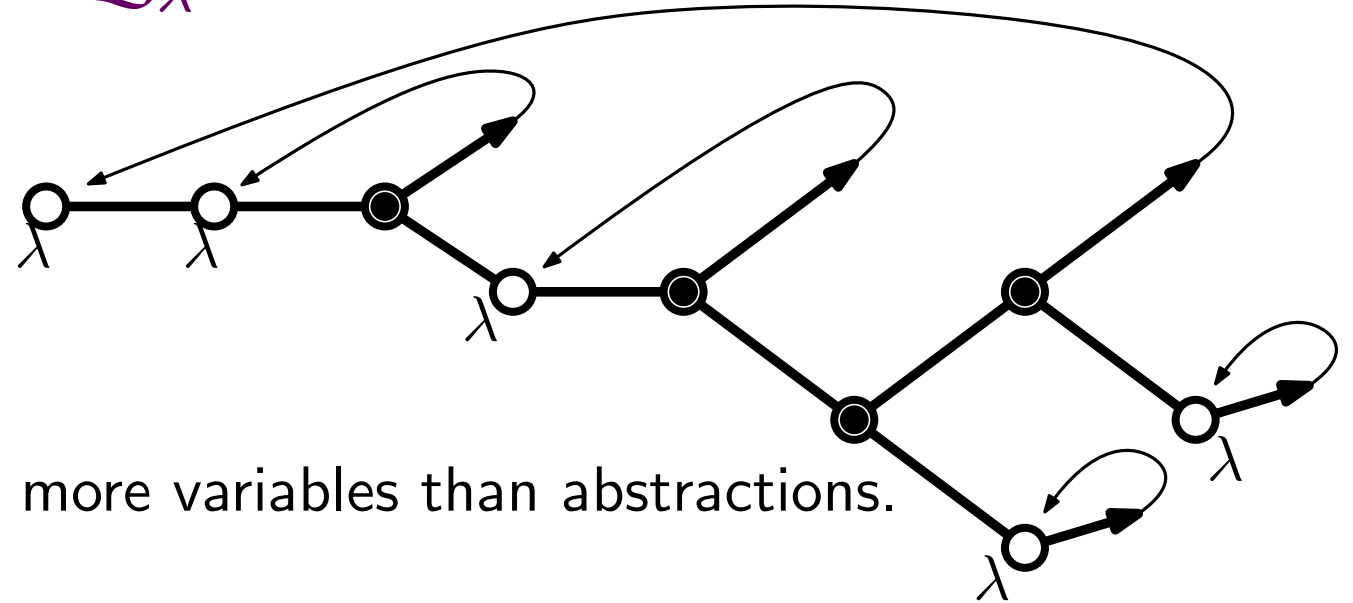


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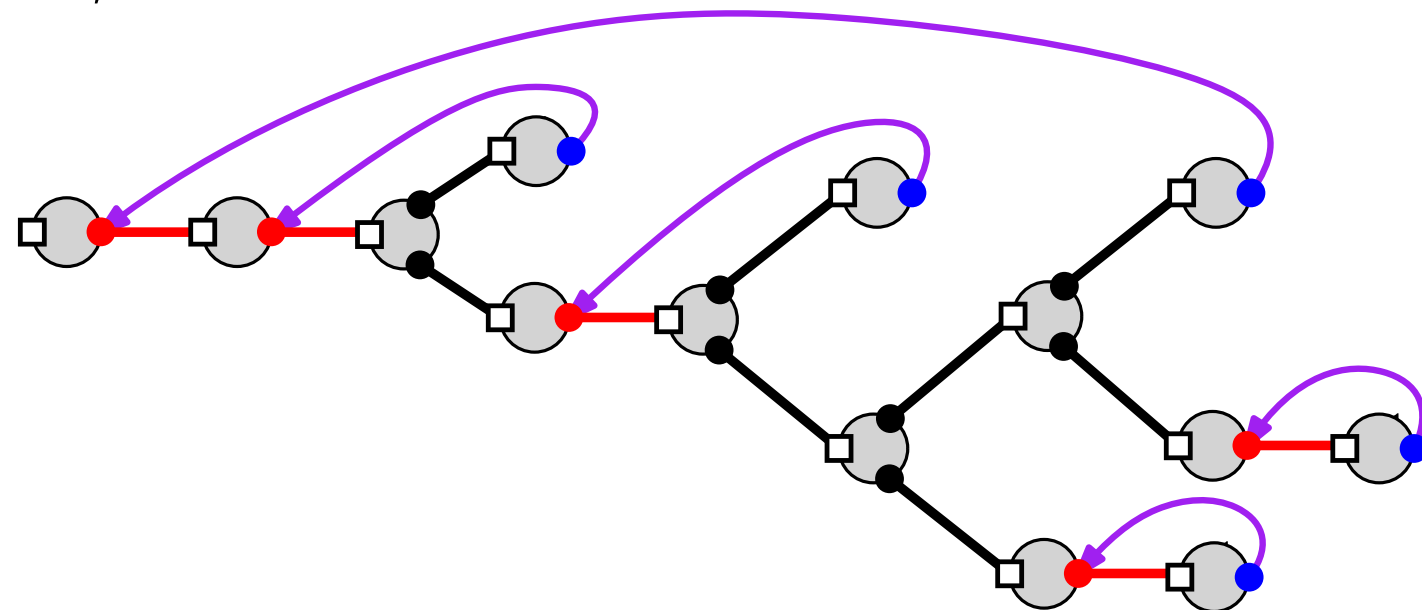
Mark variables with \bullet and abstractions λ with \bullet , then the set of vertex types is

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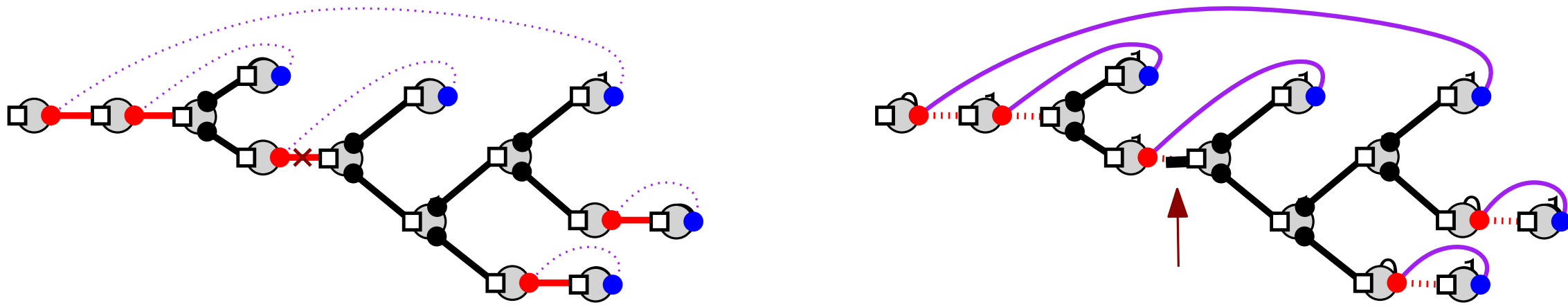
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The closure corresponds to the rightmost depth first search abstraction-variable binding.



Planar λ -terms, closure and rewiring



Corollary.

Rewiring yields a size-preserving bijection between marked planar λ -terms and companion trees with context-free specification:

$$\begin{aligned}
 C_{\square} &= \text{Diagram 1} + \text{Diagram 2} + \text{Diagram 3} + \text{Diagram 4} + \text{Diagram 5} \\
 C_{\bullet} &= \text{Diagram 6} + \text{Diagram 7} + \text{Diagram 8} + \text{Diagram 9}
 \end{aligned}$$

The diagrams represent various configurations of marked planar lambda-terms and companion trees. The equation for C_{\square} shows five terms, and the equation for C_{\bullet} shows four terms. The final equation is:

$$C_{\square} = \frac{2t^2}{1-2tC_{\square}} + tC_{\square}^2$$

What's next?

Catalytic equations also surface in various other enumeration problems, for instance for

- Families of pattern avoiding permutations (Zeilberger 92, Bona, Bousquet-Mélou, late 90's)
- Families of Tamari intervals (Chapoton, 2000's, Bousquet-Mélou-Chapoton 2022)
- Families of Planar (normal) λ -terms (Zeilberger and Giorgiotti, 2015)
- Fighting fish and variants (Duchi et al, 2016)
- Fully parked trees (Chen 2021, Contat et al 2023)
- ...

Simply generated trees can be generated in linear time (Sportiello'21)

⇒ in principle yields linear time random generators for all these structures

Rewiring gives bijections between their catalytic derivation trees and simply generated multi-trees...

⇒ but can we also have direct context-free decompositions ? (cf *pizza slice* decompositions of maps)

Bijections allow to tackle new parameters...

⇒ so what is the equivalent of *distances in maps* for these structures ?

Thank you for you attention!

What's next? Higher order 1-catalytic equations

For order 1 we started from

$$F(u) = t Q \left(F(u), \frac{1}{u} (F(u) - f), u \right), \quad \text{where } f \equiv f(t) = F(t, 0).$$

and the \mathbb{N} -algebraic system

$$\begin{cases} V &= t \cdot Q(V, W, U) \\ R &= t \cdot (1 + R) \cdot Q'_v(V, W, U) \\ U &= t \cdot (1 + R) \cdot Q'_w(V, W, U) \\ W &= t \cdot (1 + R) \cdot Q'_u(V, W, U) \end{cases}$$

For order k we need to deal with

$$P(F(u), f_1, f_2, \dots, f_k, u, t) = 0 \quad \text{or } P(u) = Q(F(u), \Delta F(u), \dots, \Delta^k F(u), u, t)$$

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BMJ Theorem for order k equations lead to a system of $3k$ equations for $3k$ unknowns: the analogs u_1, \dots, u_k of the series u , the $F(u_1), \dots, F(u_k)$ by F and the f_1, \dots, f_k .

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This is making things harder:

bijections are easier to find if one has a nice (and complicated) formula to interpret!

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So here is the plan...

The linear case: essentially the kernel method for 1d walks with arbitrary up and down steps

- the kernel method works systematically for finite sets of steps (Bousquet-Mélou, around 2000)
- the corresponding generalized Dyck path admit a context-free specification (Duchon 1998)

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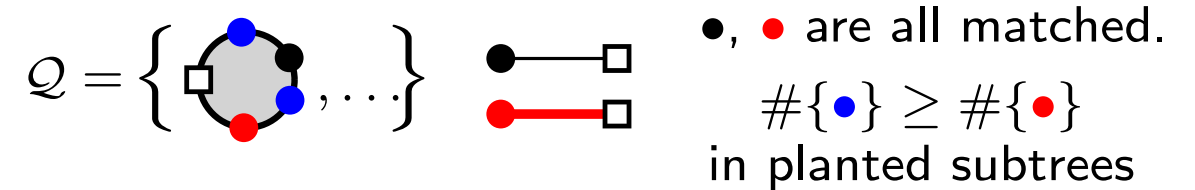
⇒ gives a combinatorial specifications for walks with algebraic series of up-steps.

The non linear case: the resulting heuristic is to rewrite the BMJ systems in terms of the elementary functions in the u_i instead, and to avoid the $F(u_i)$, use the discriminant form of the system.

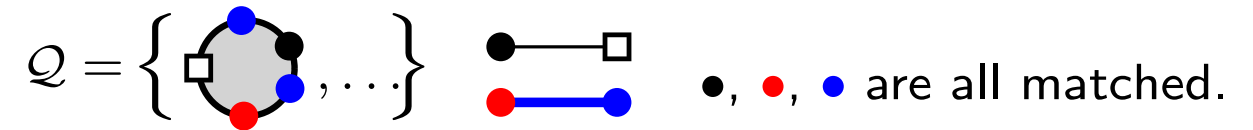
in progress: apply the combinatorial specification of the linear case along a branch and sort out the ugly details to see what comes out !

Non negative \mathcal{Q} -trees and companion \mathcal{Q} -trees

non-negative \mathcal{Q} -tree = necklace tree s.t.
necklaces are in \mathcal{Q}
the excess at each pearl is non negative.



companion \mathcal{Q} - tree = necklace tree s.t.
necklaces are in \mathcal{Q}



THEOREM (Duchi-S. 23). **Rewiring** is a vertex type preserving bijection
between non negative \mathcal{Q} -trees and balanced companion \mathcal{Q} -trees

