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The Expected Number of Patterns in a Random Generated Permutation on

$$[n] = \{1, 2, \dots, n\}$$

A thesis

presented to

the faculty of the Department of Mathematics

East Tennessee State University

In partial fulfillment

of the requirements for the degree

Master of Science in Mathematical Sciences

by

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August 2018

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Keywords: Subsequence, random permutation, subadditivity, Fekete's Lemma

ABSTRACT

The Expected Number of Patterns in a Random Generated Permutation on

$$[n] = \{1, 2, \dots, n\}$$

by

Evelyn Fokuoh

Previous work by Flaxman (2004) and Biers-Ariel et al. (2018) focused on the number of distinct words embedded in a string of words of length n. In this thesis, we will extend this work to permutations, focusing on the maximum number of distinct permutations contained in a permutation on $[n] = \{1, 2, ..., n\}$ and on the expected number of distinct permutations contained in a random permutation on [n]. We further considered the problem where repetition of subsequences are as a result of the occurrence of (Type A and/or Type B) replications. Our method of enumerating the Type A replications causes double counting and as a result causes the count of the number of distinct sequences to go down.

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1 INTRODUCTION

A major problem of interest in combinatorics is the number of distinct subsequences that exist as subsequences of a given string. The number of distinct subsequence equals 2^n — the number of repetitions. For example, in the word 10110, the embedded subsequences are $\{\}$, 1, 0, 10, 01, 00, 11, 101, 100, 110, 111, 1011, 1010, 1110, 0110, and 10110, where throughout this thesis we use the notation $\{\}$ for empty set. There are thus 16 distinct subsequences among the $2^5 = 32$ subsequences of 10110. Similarly the permutation 1324 contains (using order-isomorphic representations we can, e.g., rename both 13 and 12 as 12) the sub-permutations $\{\}$, 1, 12, 21, 132, 123, 213, and 1324. The rest of the subpermutations are repetitions. Flaxman et al. (2004) focused on determining the maximizing string in the case of binary words. This turned out to be the alternating string. In other words, for the alphabet $\Sigma = \{1,2\}$, the sequence $(1,2,1,2,\ldots)$, gives the maximum number of distinct subsequences, which turn out to be

$$Fib(n+3) - 1 \sim ((1+\sqrt{5})/2)^{n+3}/\sqrt{5},$$

which is asymptotic to $(1.62)^n$. This result was generalized for a finite alphabet Σ of size d. Biers-Ariel et al. (2018) defined T_n as a fixed binary string of length n, t_i as the i^{th} letter of T_n , S_n as a random binary string of length n and $\phi(T_n)$ as the number of distinct subsequences of T_n . The authors of this paper focused on $E[\phi(S_n)]$ when $\Pr[s_i = 1] = \alpha \in [0, 1]$. The minimum value of $E(\phi(S_n))$ on a fixed length-n string on the the alphabet $\{0, 1\}$, is trivial. It occurs when $\alpha = 0$ or $\alpha = 1$, and in this case $E(\phi(S_n)) = n + 1$. If $n = 2, \alpha = 1/2$, the four possibilities for T_n

are 11, 10, 01, and 00. These contain 3, 4, 4, and 3 subsequences respectively, so $E(S_n) = (3+4+4+3)/4 = 3.5$. A key result in Biers-Ariel et al. (2018), which enables one to count $\phi(T_n)$ recursively, is the following: Given T_n , let l be the greatest number less than n such that $t_l = t_n$, and if no such number exists, let l = 0. Then, $\nu(T_n)$, the number of distinct new subsequences created at the nth stage in a string T_n , is

$$\nu(T_n) = \begin{cases} n & \text{if } l = 0\\ \sum_{i=l}^{n-1} \nu(T_i) & \text{if } l > 0 \end{cases}$$

As an example, we consider the word $\{10010\}$ of length n=5. We have $\phi(T_5)=1+\nu(T_1)+\nu(T_2)+\nu(T_3)+\nu(T_4)+\nu(T_5)=1+1+2+2+5+7=18$. Biers-Ariel et al.(2018) then used the above expression and linearity of expectation to find $E(\phi(S_n))$ for each $\alpha\in(0,1)$. Later in the article, the authors focused on random strings from an alphabet of size d, where the letter $j\in[d]$ is independently selected with probability α_j . In other words, $\Pr[s_i=j]=\alpha_j$ for all $i\in[n], j\in[d]$. (Note that $\sum_{j=1}^d \alpha_j=1$). They gave a recursion to count $\nu(T_n)$ as in the case of d=2. They also considered the case where the letters were generated according to a Markov chain.

To give a specific example of a result in Biers-Ariel et al. (2018), suppose we are considering the case of binary words with unequal probabilities, i.e., $\Pr[s_i = 1] = \alpha \in [0, 1]$; $\Pr[s_i = 0] = 1 - \alpha$ for all $1 \le i \le n$. Then we have

$$E[\phi(S_n)] = \begin{cases} n+1 & \text{if } \alpha = 0, 1\\ \frac{\left(1-2\sqrt{\alpha(1-\alpha)}\right)\left(1-\left(1-\sqrt{\alpha(1-\alpha)}\right)^n\right)+\left(1+2\sqrt{\alpha(1-\alpha)}\right)\left(\left(1+\sqrt{\alpha(1-\alpha)}\right)^n-1\right)}{2\sqrt{\alpha(1-\alpha)}} & \text{if } \alpha \neq 0, 1 \end{cases}$$
Thus, $E[\phi(S_n)] = 2\left(\frac{3}{2}\right)^n - 1$ when $\alpha = 0.5$, as proved by Flaxman et al (2004).

The main open problem stated in Biers Ariel et al. (2018) is extending the above work to permutations. Both the referees of their paper were enthusiastic about this direction.

In this thesis, $\phi(\pi_n)$ is the number of distinct permutations contained in a permutation π_n on [n]. π_n may be fixed or random. In the random case, we can consider $E(\phi(\pi_n))$. $\nu(j)$ is the number of new permutations created by the jth entry of the sequence $(\pi(1), \ldots, \pi(n))$ for $j = (1, 2, \ldots, n)$. Finally, $\psi(k, \pi)$ is the number of repeats of permutations of length k. Some of the basic definitions of interest are the Type A repeats which are repeats in which two subpermutations have the same pattern and the values are identical except for two values which have the same rank in the pattern, e.g., subpermutations 2146 and 2145 of length k = 4. Both generate 2134 patterns. If n is odd, then the singleton $\{n\}$ is a type C duplicate. Any duplicate which is neither a Type A nor a Type C is a type B duplicate.

Our two main directions will be the following:

- (A) To determine the maximum number of embedded permutations as done by Flaxman et al. (2004) for words, since the minimum number of embedded permutations is trivial. (The permutation $\pi_n = 123...n$ contains the permutations $\{\}$, $1, 12, \ldots, 123 \ldots n$, or n + 1 permutations).
 - (B) In the random case to make progress in determining $E(\phi(\pi_n))$.

These two topics will be presented in Sections 3 and 4 respectively, after some

preliminary results are presented in Section 2. Other issues such as the variance of $\phi(\pi_n)$ or the distribution of $\phi(\pi_n)$ are very difficult and we will not consider these. Trying to find a recursion that counts the number of new permutations created at the *j*th position (this was the approach taken by Biers-Ariel et al. 2018) will be an option; this will hopefully give an exact expression for $E(\phi(\pi_n))$. Another option might be to show that $E(\phi(\pi_n))/a^n \to 1$ for some a (using subadditivity and Fekete's Lemma). We will explore all these options in the coming pages.

2 PRELIMINARY RESULTS

In this part of the thesis we determine $(\mathbf{E}[\phi(n)])^{1/n}$ for $n = \{1, 2, 3, 4, 5, 6, 7, 8\}$. $\nu(j)$ is defined to be the number of new permutations created by the jth entry of the sequence $(\pi(1), \ldots, \pi(n))$ for $j = (1, 2, \ldots, n)$ and $\phi(n)$ is the number of distinct permutations contained in the sequence $(\pi(1), \pi(2), ..., \pi(n))$. Hence $\phi(n) = \sum_{j=1}^{n} \nu(j) + 1$. This was the approach taken by Biers-Ariel et al. (2018) for words, but after several attempts at finding analogs in the case of permutations, we abandoned this line of investigation. For small values of n, we were able to use R (a free software for statistical computing) to write an Rcode. This is available in the Appendix. We derived histograms for $n = \{1, 2, 3, 4, 5, 6, 7, 8\}$. The R on the x-axis defines the number of embedded sequences for each value of n while the y-axis defines the rate at which each embedded sequence occur (count). For instance in Figure 1, the possible permutation for n = 1 is 1. The number of embedded subsequence when n = 1 is $\{\{\}, 1\}$. These two appear just once. For Figure 1, the mean of the embedded sequences when n=1 is 2. From our calculation, we had the variance of these sequences to be 0, the expected number of distinct permutations $(\mathbf{E}[\phi(1)])^{1/1}$ was 2 and the value of the constant C was 1 (Mean/ 2^n). For Figure 2, with n=2, we can generate two possible permutations namely 12 and 21. The number of embedded sequences for 12 is $\{\{\},1,12\}$ and for 21 is $\{\{\},2,21\}$. However, by order isomorphism the 2 in 21 turns to be 1. Since we have three embedded sequences in both 12 and 21, it means the rate(frequency) at which we see the count of 3 is 2 times. These embedded sequences give us a mean value of 3, and a variance of 0.222. The $(\mathbf{E}[\phi(2)])^{1/2}$ is 1.732 and the constant C is 0.75.

Now for Figure 3, where n=3, the possible permutations are 123, 132, 213, 213, 231, 321. There are 4 embedded sequences including the empty set in 123 and 321 but the rest contains 5 embedded sequences. Thus the rate at which we see the count of 4 is 2 and the rate at which we see the count of 5 is 4. The mean value of these embedded sequences when n=3 is 4.667, the variance is 0.222, $(\mathbf{E}[\phi(3)])^{1/3}$ is 1.671 and the value of the constant C is 0.5833. This idea is used to explain the nature of the histograms, mean etc for Figures 4 through Figure 8. Detailed information on the embedded sequences for $n=\{1,2,...,8\}$ can be found in the Rcode under Appendix.

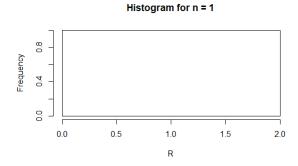


Figure 1: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=1.

Histogram for n = 2

Figure 2: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=2.

The mean for the embedded sequences for Figure 2 where n=2 is 3 and the variance is 0. The $(\mathbf{E}[\phi(n)])^{1/n}$ and the value of the constant C are 1.732, 0.75 respectively.

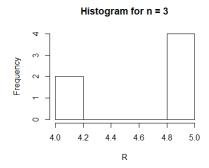


Figure 3: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=3.

For the Figure 3 , the mean of the 6 embedded sequences is 4.667 and the variance $=0.222. \text{ The } (\mathbf{E}[\phi(n)])^{1/n}=1.671 \text{ and } C=4.667/2^3=0.5833.$

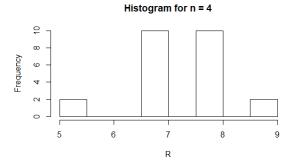


Figure 4: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=4.

When n=4, the mean of the 24 embedded sequences is 7.417 and the variance = 0.9097. The $(\mathbf{E}[\phi(n)])^{1/n}=1.6502$ and $C=7.417/2^4=0.4636$.

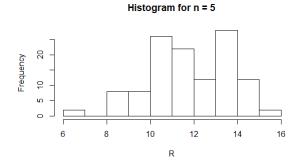


Figure 5: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=5.

For Figure 5, the mean of the 120 embedded sequences is 12.2833 and the variance = 4.1969. The $(\mathbf{E}[\phi(n)])^{1/n} = 1.6514$ and $C = 12.283/2^5 = 0.3838$.

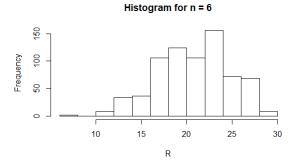


Figure 6: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=6.

The mean of the 720 embedded sequences in Fig. 6 is 21.1444 with a variance of 25.6347. $(\mathbf{E}[\phi(n)])^{1/n} = 1.6629$ and $C = 21.144/2^6 = 0.3304$.

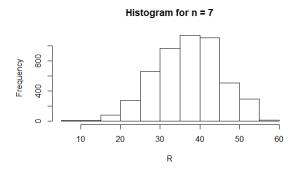


Figure 7: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=7.

We generate 5040 embedded sequences when n = 7 with a mean of 37.60397 and variance of 76.0793. The $(\mathbf{E}[\phi(n)])^{1/n} = 1.6789$ and $C = 37.604/2^7 = 0.2938$.

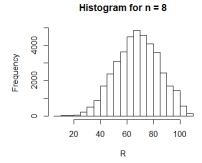


Figure 8: A Histogram showing the value of $(\mathbf{E}[\phi(n)])$ at different values of R when n=8.

The mean for the embedded sequences is 68.63661 with a variance of 201.3242. The

$$(\mathbf{E}[\phi(n)])^{1/n} = 1.6966$$
 and the constant $C = 68.637/2^8 = 0.2681$

We observe that the $(\mathbf{E}[\phi(n)])$ was 2 for n=1, then it decreased to 1.732 for n=2. Then it reduced to 1.671 for n=3. However after n=4, it started to increase and finally to 1.6966 for n=8. The value of the constant C on the other hand was reducing for values of n from 1 through 8. Our interest in deriving the values of the constant C was because we believe $(\mathbf{E}[\phi(n)]) = C_n * 2^n$. Hence, for reasons that we will give later, we believe that the following holds:

Conjecture 2.1. Since $(\mathbf{E}[\phi(n)])$ is increasing after n=4 and approaching a constant number for values of $n=\{1,2,..,8\}$, then

$$\lim_{n \to \infty} (\mathbf{E}[\phi(n)])^{1/n} = 2.$$

2.1 Possible use of Fekete's Lemma(Subadditivity)

Suppose we can show that that for each $\pi \in S_{n+m}$, where S_n is the set of all permutations on [n], we have that $\phi(\pi_{m+n}) \leq \phi(\pi_n)\phi(\pi_{\{n+1,\dots,n+m\}})$, then we would have made great progress. This was what occurred in Biers-Ariel et al (2018); they exploited subadditivity to prove the existence of a limit for $(\mathbf{E}(\phi_n))^{1/n}$.

Theorem 2.2. Fekete's Lemma: If a_n is a real sequence for which

$$a_{n+m} \le a_n + a_m, \quad (n, m = 1, 2, \ldots)$$

then

$$\lim_{n \to \infty} \frac{a_n}{n} = \inf_n \frac{a_n}{n},$$

where the existence of the limit is the key conclusion.

As an example, we can consider $\pi = 24315$ n = 3 and m = 2. Then, $\phi(\pi_{n+m}) = 14$ due to the embedded subpermutations

 $\phi(\pi_n) = 5$ due to

and $\phi(\pi_{\{n+1,\dots,n+m\}})=3$ due to

The inequality holds. If this was to be true for any Π , then we could say that in general

$$\mathbf{E}[\phi_{n+m}] \le \mathbf{E}(\phi_n.\phi_{\{n+1,\dots,n+m\}}).$$

Since this is on disjoint intervals, these values will be independent of each other. If we assume that $n \leq m$ then we would have

$$\mathbf{E}(\phi_{n+m}) \leq \mathbf{E}(\phi_n.\phi_{\{n+1,...,n+m\}})$$

$$= \mathbf{E}(\phi_n)\mathbf{E}(\phi_{\{n+1,...,n+m\}})$$

$$= \mathbf{E}(\phi_n)\mathbf{E}(\phi_m)$$
(1)

Then,
$$\log \mathbf{E}(\phi_{n+m}) \leq \log \mathbf{E}(\phi_n) + \log \mathbf{E}(\phi_m)$$
 (2)

Letting $a_n = \log \mathbf{E}(\phi_n)$, this would lead to the conclusion that

$$a_{n+m} \leq a_n + a_m$$

and thus, via Fekete's Lemma, that

$$\lim (\mathbf{E}(\phi_n))^{1/n} = D.$$

This is because we would have had

$$\frac{a_n}{n} = \frac{1}{n} \log \mathbf{E}(\phi_n) \to C,$$

and thus

$$\log \mathbf{E}(\phi_n)^{\frac{1}{n}} \to C,$$

which would imply that

$$\mathbf{E}(\phi_n)^{\frac{1}{n}} \to e^C := D.$$

This was however a failed attempt. We actually found examples where the inequality didn't hold. In an attempt to fix this, we examined the Erdős-deBruijn generalization of Fekete's lemma.

2.2 Erdős-Debruijn Generalisation of Fekete's Lemma

Theorem 2.3. Fekete's Lemma: If we have $\phi(n+m) \leq \phi(m) + \phi(n) + a(m+n)$, where $\sum_{n=1}^{\infty} \frac{a_n}{n^2} < \infty$, then $\lim_{n\to\infty} \frac{a_n}{n}$ exists.

We consider as examples the cases where $\phi_{m+n} \leq \phi_n + \phi_m + n + m$, and $\phi_{m+n} \leq \phi_n + \phi_m + \sqrt{n+m}$. Theorem 3 could not be used in the first case but could be used in the second case, since the series $\sum \frac{1}{n}$ diverges but the series $\sum \frac{1}{n^{3/2}}$ converges. Our efforts to find a "buffer" function that led to Theorem 3 being valid were unsuccessful as well.

2.3 Trying to use a Recursion Similar to that in Biers-Ariel et al (2018)

We have that

$$\phi(\pi_n) = \sum_{j=1}^n \nu(j)$$

where $\nu(j)$ is the number of new permutations counted by the jth entry. We can calculate $\nu(j)$ as follows: If $\nu(j)$ is the smallest term, increase all the previous entries by 1 and label the jth entry as 1. Retain all those sequences that have not occurred before. If we consider as an example the permutation 42681, the possible

subpermutations are:

$$j = 1; \nu(j) = 1; 1$$

$$j = 2; \nu(j) = 1; 21$$

$$j = 3; \nu(j) = 2; 12, 213$$

$$j = 4; \nu(j) = 2; 23, 2134$$

$$j = 5; \nu(j) = 5; 321, 231, 3241, 32451, 2341.$$
(3)

We can observe that the last entry j = 5 was obtained by increasing all previous entries we have obtained by 1 and finally ending with a term 1.

If $\nu(j)$ is the largest term encountered, we augment each previous term by the next largest value and retain all those sequences that have not occurred before. We take a look at the permutation 42689:

$$j = 1; \nu(j) = 1; 1$$

 $j = 2; \nu(j) = 1; 21$
 $j = 3; \nu(j) = 2; 12, 213$
 $j = 4; \nu(j) = 2; 123, 2134$
 $j = 5; \nu(j) = 2; 1234, 21345.$

(4)

However, this process is very difficult to track when terms other than the largest or smallest appear at the jth position. We thus abandoned our efforts to adopt a

method similar to that in Biers-Ariel et al. (2018), which was used so successfuly for words.

2.4 Heuristic Reason why we think $\mathbf{E}(\phi_n)^{1/n} \longrightarrow 2$

We see from the histograms that $\mathbf{E}(\phi_n)^{1/n}$ is decreasing up till n=5 and increasing after that, up till n=8. Will it approach 2 as $n\to\infty$? Here we argue that it might be possible, and the rest of the thesis is devoted to gathering evidence that the limit might equal 2.

Now for large k, we observed that $k! \gg \binom{n}{k}$. To obtain the repeats of length k for large k, we are essentially asking how many repeats are possible in a small set of $\binom{n}{k}$ positions, where there exist k! possible permutations. Intuition suggests that this would be a small number. This thesis will be devoted to classifying and understanding these repeats.

Let the number of repeats of permutations of length k be denoted by $\psi(k,\pi)$. **Suppose** that for a large k, say $k \geq n/2$, we have at most $\binom{n}{k}/2$ repeats, so that $\max \psi(k,\pi) \leq \binom{n}{k}/2$. Then the total number of repeats is

$$\sum_{k=1}^{n/2} \max \psi(k, \pi) + \sum_{n/2+1}^{n} \max \psi(k, \pi)$$

which is bounded above by

$$\sum_{k=1}^{n/2} \binom{n}{k} + \sum_{n/2+1}^{n} \binom{n}{k} / 2,$$

which simplifies to

$$\frac{1}{2} * 2^n + \frac{1}{2} * 2^n * \frac{1}{2} = \frac{3}{4} * 2^n.$$

Therefore, the number of distinct permutations would be at least $2^n - \frac{3}{4} * 2^n = \frac{1}{4} * 2^n$, and hence we would have that

$$\mathbf{E}(\phi_n)^{1/n} \ge \frac{1}{4^{1/n}} * 2 \to 2.$$

2.5 Tpes of Repeats

In the permutation n=2146537, let k=4. Then we have k!=24 and $\binom{n}{k}=35$. The successive terms are (1,2) and (5,6). The possible subpermutations of length 4 from the above permutation n=2146537 are obtained in the Table 1 below. From Table 1, the colored pattern under the reduced column indicate some of the Type A repeat. In this table, if we consider case 1 and case 2, thus the subpermutations 2146 and 2145. These two subpermutations generate the same reduce pattern 2134. This is because 6 in the subpermutation 2146 and 5 in subpermutation 2145 turn to have the same rank (which is 4) in the reduced pattern. Again from case 4 and case 7, the subpermutations 2147 and 2167 both generate a reduce pattern of 2134. This is because 4 in the subpermutation 2147 and 6 in the subpermutation 2167 have the same rank of 3 in the reduced pattern. The rest of the Type A repeats are found in the Table 1 below and those that can be paired are colored with the same color.

Table 1: Types of repeats.

CASE	SUBPERMUTATION	REDUCTION
1	2146	2134
2	2145	2134
3	2143	2143
4	2147	2134
5	2165	2143
6	2163	2143
7	2167	2134
8	2153	2143
9	2157	2134
10	2137	2134
11	2465	1243
12	2463	1342
13	2467	1234
14	2453	1342
15	2457	1234
16	2437	1324
17	2653	1432
18	2657	1324
19	2637	1324
20	2537	1324
21	1465	1243
22	1463	1342
23	1465	1234
24	1453	1342
25	1457	1234
26	1437	1324
27	1653	1432
28	1657	1324
29	1637	1324
30	1537	1324
31	4653	2431
32	4657	1324
33	4637	2314
34	4537	2314
35	6537	3214

The only type C present in this permutation is 7. We start by analyzing type A repeats with successions. A succession is defined as an occurrence where $\pi(i+1) = \pi(i) \pm 1$.

There are however other types of events that cause duplication other than successions. In this thesis, we focus on what we call Type A duplicates, which are defined more precisely (than done before) later.

2.6 Calculation of the Expected Number of Patterns in a Random Permutation

We start by calculating some values of $[\mathbf{E}(\phi(n))]^{1/n}$ by hand and by using the R code found in the Appendix. The expected number of patterns for n = 2, 3, 4 are in the tables below:

From the Table 2, we derive two possible permutations of length 2. This is found in the first column. The number of patterns is 3 as explained for Figure 2 for each of these permutations. The probability that each of these permutations occur is 0.5. The $[\mathbf{E}(\phi(2))]^{1/2} = (6/2)^{0.5} = 1.7321$. Hence, the expected number of patterns for n = 2 is 1.7321.

Table 2: Expected number of patterns for n=2.

π_n	number of patterns (ϕ_n)	Probability
12	$\{\},1,12=3$	1/2 = 0.5
21	$\{\},1,21=3$	0.5

For n=3, the column 1 of Table 3 gives us information on all the 6 possible permutations for n=3. This is similar to the number of permutations we derived for Figure 3. The $[\mathbf{E}(\phi(3)]^{1/3} = (28/6)^{1/3} = 1.671$. Since we have 6 permutations in all, the probability that each of these permutations occur is 0.167.

Table 3: Expected number of patterns for n=3.

π_n	number of patterns (ϕ_n)	Probability
123	$\{\},1,12,123=4$	1/6 = 0.167
132	$\{\},1,12,21,132 = 5$	0.167
213	$\{\},1,21,12,213=5$	0.167
231	{},1,12,21,231=5	0.167
312	$\{\},1,21,12,312=5$	0.167
321	{},1,21,321=4	0.167

For n=4, we have a total of 24 possible permutations of length 4 each in the Table 4. $[\mathbf{E}(\phi(4))]^{1/4}=(178/24)^{1/4}=1.6502$.

Table 4: Expected number of patterns for n=4.

π_n	number of patterns (ϕ_n)	Contribution to Expected Value
1234	$\{\},1,12,123,1234=5$	5*1/24=5/24
1243	$\{\},1,12,21,123,132,1243=7$	7/24
1324	$\{\},1,12,21,123,132,213,1324 = 8$	8/24
1342	$\{\},1,12,21,123,132,231,1342 = 8$	8/24
1423	$\{\},1,12,21,312,132,123,1423 = 8$	8/24
1432	{},1,12,21,132,321,1432=7	7/24
:	<u>:</u>	i:
4312	$\{\},1,12,21,312,321,4312 = 7$	7/24
4321	{},1,21,321,4321=5	5/24

The probability that each of these permutations in Table 4 will occur is 1/24. However, the contribution of 5 to the expected value is 5/24.

The corresponding values for $[\mathbf{E}(\phi(n))]^{1/n}$ for n=5,6 and 7 are :

$$[\mathbf{E}(\phi(5)]^{1/5} = (1,474/120)^{1/5} = 1.6514.$$
$$[\mathbf{E}(\phi(6)]^{1/6} = (15,224/720)^{1/6} = 1.66289.$$
$$[\mathbf{E}(\phi(7)]^{1/7} = (189,524/5040)^{1/7} = 1.6789.$$

We see that the minimum of $[\mathbf{E}(\phi(n))]^{1/n}$ is at n=4, and we observe an increasing trend from there on.

3 UPPER AND LOWER BOUNDS ON $\phi(n)$

It is clear that there are at most k! distinct permutations of length k. But only $\binom{n}{k}$ of these may actually be present. For small values of k, $k! < \binom{n}{k}$, and this inequality flips for large values of k. As an example we consider n = 7. The values of k! are (1, 2, 6, 24, 120, 720, 5040), and the corresponding values for $\binom{n}{k}$ are (7, 21, 35, 35, 21, 7, 1). In any case, we have the bound

$$\phi(n) \le \sum_{k=0}^{n} \min\left(\binom{n}{k}, k!\right).$$

We believe (and will argue below) that $\sum_{k=0}^{n} \min(\binom{n}{k}, k!)$ is not a bad bound. To explain this we take a look at $\sum_{k=0}^{n} \min(\binom{n}{k}, k!)$. We start by analyzing the relationship between $\binom{n}{k}$ and k!:

By Stirling's approximation

$$k! \sim \sqrt{2\pi k} \left(\frac{k}{e}\right)^k$$

so on taking the limit we obtain

$$\lim_{k \to \infty} \frac{k!}{\sqrt{2\pi k} (\frac{k}{e})^k} = 1.$$

For any k, however, we have the bounds

$$\sqrt{2\pi k} \left(\frac{k}{e}\right)^k \le k! \le \sqrt{2\pi k} \left(\frac{k}{e}\right)^k e^{\frac{1}{12k}}.$$

The other term is $\binom{n}{k}$. If k is not of magnitude O(n), (and thus $k \neq \frac{n}{3}$, for example), then we can approximate

$$\frac{(n-k)^k}{k!} \le \binom{n}{k} \le \frac{n^k}{k!},$$

and thus

$$\binom{n}{k} \sim \frac{n^k}{\sqrt{2\pi k} (\frac{k}{e})^k}.$$

Since

$$k! \sim \sqrt{2\pi k} \left(\frac{k}{e}\right)^k$$

on equating the two we obtain

$$\sqrt{2\pi k} \left(\frac{k}{e}\right)^k = \frac{n^k}{\sqrt{2\pi k} \left(\frac{k}{e}\right)^k},$$

or

$$2\pi k \left(\frac{k^2}{ne^2}\right)^k = 1.$$

In order to get a close estimate for the solution, we ignore the linear factor $2\pi k$, and obtain

$$\frac{k^2}{ne^2} = 1,$$

or

$$k = e\sqrt{n}$$
.

Albert et al (3) noted the bound $\sum \min \left(\binom{n}{k}, k!\right)$, but dismissed it without further analysis. Let us summarize the history of the *lower* bound on the maximum number of permutations $\max \phi(n)$ contained in an n permutation:

Coleman (6) proved that

$$\max \phi(n) \ge 2^{n-2\sqrt{n}+1}$$

establishing that

$$(\max \phi(n))^{1/n} \to 2$$

as $n \to \infty$, but leaving open the question of whether

$$\frac{\max \phi(n)}{2^n} \to 1.$$

Albert's et al's lower bound on the maximum number of embedded distinct permutations was larger than what Coleman had. Specifically, they proved that

$$\max \phi(n) \ge 2^n \left(1 - \frac{6\sqrt{n}}{2^{\frac{\sqrt{n}}{2}}}\right) = 2^n (1 - \epsilon),\tag{5}$$

thus showing that

$$\frac{\max \phi(n)}{2^n} \to 1.$$

Miller (2008) proved a better lower bound than in (5). Specifically, she proved that

$$\max \phi(n) \ge 2^n - O(n^2 2^{n - \sqrt{2n}}),\tag{6}$$

which she matched with the upper bound of

$$\max \phi(n) \le 2^n - \Theta(n2^{n-\sqrt{2n}}). \tag{7}$$

We delved through the paper to uncover the value of the constant in (7) and found that it was enormous. With $l = \sqrt{2n}$, (7) can be fleshed out as

$$\max \phi(n) \le 2^n - \left(2^n \left(\frac{nl - 27l - \frac{27n}{2} - 27}{80(l+3)2^l}\right) - \left(2^{16} \cdot n^4 \cdot 2^{(n-l)}\right)\right). \tag{8}$$

In the Table 5 below, we compare our upper bound $\sum \min(\binom{n}{k}, k!)$ to Miller's upper bound. We observed clearly the magnitude of the constant in (8) leads to the "trivial" bound, doing much better for values of n at least till 50.

Table 5: Comparison of our upper bound with Miller's upper bound.

n	Our upper bound	Miller's upper bound
1	2	49,182.218
2	3	1,048,580.26
3	5	2,654,216.42
4	9	37,791,894.67
5	16	146,409,613.6
10	540	$3.02059167*10^{10}$
100	1267650591324628	$4.594862602*10^{10}$
200	160693804425899027	$1.60693806*10^{68}$

Next, we study the asymptotics of the $\sum \min(\binom{n}{k}, k!)$ bound, and will uncover that while not as good as (8), does satisfy several desirable criteria. We have already seen that $k! = \binom{n}{k}$ around $k = e\sqrt{n}(1 + o(1)) = A$. We thus truncate as follows:

$$\sum \min \left(\binom{n}{k}, k! \right) = \sum_{0}^{A} k! + \sum_{A+1}^{n} \binom{n}{k}$$

$$= \sum_{0}^{A} k! + \sum_{0}^{n} \binom{n}{k} - \sum_{0}^{A} \binom{n}{k}$$

$$= \sum_{0}^{n} \binom{n}{k} - \sum_{0}^{A} \left(\binom{n}{k} - k! \right)$$

$$= 2^{n} - \sum_{0}^{A} \binom{n}{k} + \sum_{0}^{A} k!. \tag{9}$$

We need to find a good upper bounds on the two sums in (9). First we have

$$\sum_{0}^{A} \binom{n}{k} = 2^{n} \sum_{0}^{A} \binom{n}{k} \frac{1}{2^{k}} \frac{1}{2^{n-k}}$$

$$= 2^{n} \Pr(\mathcal{B}i(n, \frac{1}{2}) \le A)$$

$$\geq 2^{n} \Pr(\mathcal{B}i(n, \frac{1}{2}) = A)(1 + \epsilon)$$

$$= \binom{n}{A} (1 + \epsilon), \tag{10}$$

where we used, in (11), Proposition A.2.5 in Barbour et al (1992). Since $A \sim e\sqrt{n}$, we see that

$$\binom{n}{A} \sim \frac{n^A}{(\sqrt{n}e)!} \sim (\sqrt{n}e^2)^{\sqrt{n}e}.$$

Plugging this into (11), we see that

$$\sum \min \left(\binom{n}{k}, k! \right) \geq 2^n - (\sqrt{n}e^2)^{\sqrt{n}e} + \sum_{0}^{A} k!$$

$$\sim 2^n - (\sqrt{n}e^2)^{\sqrt{n}e} + A \cdot A!$$

$$= 2^n - 2^{c\sqrt{n}\ln n} + A \cdot A!$$

$$\sim 2^n - 2^{c\sqrt{n}\ln n} + C\sqrt{n} \cdot (\sqrt{n})^{e\sqrt{n}}$$

$$= 2^n - 2^{c\sqrt{n}\ln n}(1 + o(1)). \tag{12}$$

Thus it turns out that asymptotically, Miller gets a better upper bound which is $2^n - (n2^{n-\sqrt{2}n})$. This is because

$$2^n - (n2^{n-\sqrt{2}n}) \le 2^n - 2^{c\sqrt{n}\ln n}$$

since $2^{c\sqrt{n}\ln n} \le n2^{n-\sqrt{2}n}$. As seen however, our bound does far better for small values of n.

4 ANALYSIS

For any n, k, most of the duplicates are created by choosing one entry in a pair that has the same rank (all other terms are the same). We call such duplicates as $Type\ A\ duplicates$.

4.1 Interesting Examples

If we consider as an example the permutation 132, the possible patterns are in the Table 6 below,

Table 6: Patterns in the permutation 132.

1	12	21	132
1	12	32	132
2	13	null	null
3	null	null	null

Here the pair 1, 2 creates a duplicate since both have a rank of 1. In the second column, a duplicate is also generated from the pair 12 and 13. This is because the 2 and 3 in these terms have the same rank. When we pair these up the duplicate created is due to (2, 3). This is true for all permutations on n = 2 from which we derive 2 possible permutation 12 and 21 in Tables 7 and 8 respectively. The Tables 9 through 14 gives us all possible patterns of the permutations on n = 3. Since n is odd, all the 3rd rows of the 1st column gives us type C repeats since they cannot be paired.

Table 7: Patterns in the permutation 12.

1	12
1	12
2	null

Table 8: Patterns in the permutation 21.

1	21
1	21
2	null

Table 9: Patterns in the permutation 123.

1	12	123
1	12	123
2	13	null
3	23	null

Table 10: Patterns in the permutation 132.

1	12	21	132
1	13	32	132
2	12	null	null
3	null	null	null

Table 11: Patterns in the permutation 213.

1	12	21	213
1	13	21	213
2	23	null	null
3	null	null	null

Table 12: Patterns in the permutation 231.

1	12	21	231	
1	23	21	231	
2	null	31	null	
3	null	null	null	

Table 13: Patterns in the permutation 312.

1	12	21	312	
1	12	31	312	
2	null	32	null	
3	null	null	null	

Table 14: Patterns in the permutation 321.

1	21	321
1	21	132
2	3l	null
3	32	null

We now extend this to a larger n, using say 4132.

- 1. The old subsequence of size 3, before the 4 was added, was 132. In this term, the only length 3 permutation is 132.
- 2. The subsequences of size 2 from 132 are 13, 12, 32. After adding 4, we get 413, 412, 432 as additional pattern of length 3.

Table 15: Patterns in the permutation 4132.

1	12	21	312	321	132	4132
1	13	41	413	432	132	4132
2	12	43	412	null	null	null
3	null	42	null	null	null	null
4	null	32	null	null	null	null

From the Table 15 above, it can be observed that subsequences of size 1 become subsequences of size 2 when 4 is added; and subsequences of size 2 become subsequences of size 3. Hence the original pair of length 2 in the 2nd column turns to be a pair of length 3 in the 4th column. We can observe that subsequences of size 3 are derived from old subsequences of size 3 and old subsequences of size 2 plus the element n. Hence in general, the subsequences of size k is obtained from old subsequences of size k plus old subsequences of size k - 1 + 1 a new term, namely k - 1 and k - 1

$$\binom{n}{k} = \binom{n-1}{k} + \binom{n-1}{k-1}.$$

If we consider the permutation n=41325, the subsequences of size 3 we generate are 413, 412, 432, 132, 135, 125, 415, 435, 425, 325. The old subsequences of size 3 generated from 4132 are 413, 412, 432, 132. Again, the old subsequences of size 2 that we generate from 4132 are 13, 12, 41, 43, 42, 32. When we add the new term 5, each of these length of 2 permutations changes to 135, 125, 415, 435, 425 and 325. Hence the subsequences of length 3 from 41325 is the sum of the old subsequences of length 3 generated from 4132 and the old subsequences of length 2 from 4132 with 5 added to each pattern. This holds for larger values of n.

We have defined type A duplicates as those that occur when two terms of a permutation can be paired because they have the same rank in a permutation of length k and thus yield the same pattern. Type B duplicates are those that remain after all the type A and type C duplicates have been enumerated. (Type C duplicates may occur as a result of the singletons for odd values of n.) We take a look at an example:

Table 16: Patterns in the permutation 41352.

1	12	21	123	132	213	231	312	321	3124	4132	3142	3241	1342	41352
1	13	41	135	132	415	452	413	432	4135	4132	4152	4352	1352	41352
2	15	43	null	152	435	352	412	null						
3	12	42	null											
4	45	32	null											
5	35	52	null											

In the first column of the above table (Table 16), we have duplicates generated by (1,2) and (3,4). All these form a rank of 1 and hence they can be paired. In the second column, we generate a duplicate of generated by the pair (3,5) from (13,15). This is a duplicate of type A since 3 and 5 have a same rank in these two permutations. The total number of permutations generated including $\{\}$ is $2^n = 32$. After removing the pairings we have 32 - 2(10) = 12. Here we have 10 paired patterns that form a Type A and 12 remaining distinct permutations. The 5 in the first column is neither a Type A nor a Type B so it forms a Type C duplicate. We have 15 distinct permutations, but on removing the duplicates we see that we destroy some permutations, leading to only 12 remaining distinct permutations. From the above permutation, 5 is larger

than all the other terms so the same pairing remains. Old subsets of size 2 are created by 12 and 13. New subsets of size 2 are created by adding 5 to all the old subsets of size 1. Old subsets of size 3 are 132,432,412,413. The new subsets generated are 415,425,435,135,125,325. By pairing, we realize that 425 and 435 can be paired because 2 and 3 are of the same rank. 413 and 412 are also pairs with 2 and 3 having the same rank. 135 and 125 can also be paired. We realize the permutation 432 cannot be paired.

Now the role played by Type B repeats is best seen in the permutation 456123. There are exactly two 123 patterns and they have no elements in common. Here is another example:

The permutation 312645 contain the subsets 315,325,164,165,364,365. By pairing 315 and 325 we generate a 213 pattern because 1 and 2 turn to have the same rank. The permutation 164 and 165 also generate 132 pattern.164 and 165 are pairs because 4 and 5 have the same rank. Here again, there are two 312 patterns namely 312 and 645 which do not have any elements in common.

We clearly need to better understand Type B duplicates. All repeats are either a type A or type B, except for the trivial case of up to one Type C duplicate. We therefore have $\mathbf{E}(\phi(\mathbf{n})) = 2^n - \mathbf{E}(\psi(\mathbf{n}))$, where $\mathbf{E}(\phi(\mathbf{n}))$ and $\mathbf{E}(\psi(\mathbf{n}))$ are the expected number of distinct patterns and duplicates respectively.

Since all repeats are of type A or type B, and the singletons can be considered as a type C, our goal is to get an upper bound on $\mathbf{E}(\psi(\mathbf{n}))$. Where

$$\mathbf{E}(\psi(\mathbf{n})) \leq \mathbf{E}(\psi_{\mathbf{A}}(\mathbf{n})) + \mathbf{E}(\psi_{\mathbf{B}}(\mathbf{n})) + 1$$

$$= \sum_{b,c} \mathbf{E}(\psi_{\mathbf{A},\mathbf{b},\mathbf{c}}(\mathbf{n})) + \sum_{\mathbf{E}} \mathbf{E}(\psi_{\mathbf{B}}(\mathbf{n})) + 1$$

$$= \sum_{k} \sum_{b,c} \mathbf{E}(\psi_{\mathbf{A},\mathbf{b},\mathbf{c}}(\mathbf{n},\mathbf{k})) + \sum_{\mathbf{E}} \mathbf{E}(\psi_{\mathbf{B}}(\mathbf{n})) + 1$$

$$= \sum_{k} \sum_{b,c} + \sum_{a} +1. \tag{13}$$

Here we let,

- 1. $\mathbf{E}(\psi_{\mathbf{A}}(\mathbf{n}))$ is the number of repeats caused by Type A and $\mathbf{E}(\psi_{\mathbf{B}}(\mathbf{n}))$ is the number of repeats caused by Type B.
- 2. $\sum_{b,c} \mathbf{E}(\psi_{\mathbf{A},\mathbf{b},\mathbf{c}}(\mathbf{n}))$ is the number of repeats of type A caused by b and c where b and c are the two different fixed points and $\sum \mathbf{E}(\psi_{\mathbf{B}}(\mathbf{n}))$ is the number of repeats caused by Type B situations.
- 3. $\sum_{k} \sum_{b,c} \mathbf{E}(\psi_{\mathbf{A},\mathbf{b},\mathbf{c}}(\mathbf{n},\mathbf{k}))$ is the number of repeats caused by b and c of length k.
- 4. \sum_{1} denotes the duplicates of type A and \sum_{2} denotes the duplicates of type B.

An upper bound on \sum_{1} is given in the following main theorem.

Theorem 4.1.

$$\mathbf{E}\left(\sum_{1}\right) = \sum_{k=1}^{n} \sum_{t=1}^{n-1} \sum_{r=0}^{n-2} \sum_{s=0}^{\min(t-1,r)} \frac{2(n-t)(n-r-1)}{n!} \times \left(\binom{r}{s}\left[(t-1)\dots(t-1-(s-1))\right] \times \left[(n-r-2)(n-r-2-1)\dots(n-r-2-(t-2-s))\right] \times (n-2-t+1)! \binom{n-r-t-1+s}{k-1}$$
(14)

where

- 1. k is the number of repeats of type A of size k with the least being 1 and the maximum as n.
- 2. t is the numerical difference between b and c and the least difference we can have is 1.
- 3. r is the position difference between b and c and the least is 0.
- 4. s the number of terms that are in value between b and c and are physically between b and c.
- 5. 2 is the way we can permute the two numbers(b and c or c and b).
- 6. (n-t) is the number of ways we can have the numerical difference being t.
- 7. (n-r-1) is the number of ways we can place the two numbers.
- 8. n! defines the total number of permutation and it is needed since we are dealing with expected value.
- 9. $\binom{r}{s}$ defines the positions of the s numbers, out of the r numbers, that are in value between b and c.
- 10. $[(t-1)\dots(t-1-(s-1))]$ is the number of ways we can choose the s numbers.
- 11. $[(n-r-2)(n-r-2-1)\dots(n-r-2-(t-2-s))]$ is the number of ways we can permute the remaining numbers that lie outside b and c.

- 12. (n-2-t+1)! is the number of ways we can permute the remaining numbers after taking out b and c and the numbers that lies within this interval.
- 13. $\binom{n-r-t-1+s}{k-1}$ is the number of ways to choose either b or c, and k-1 other legal numbers, so as to generate a type A duplicate.

We will see that

- 1. \sum_{1} yields good values (i.e. smaller than $\binom{n}{k}$) for small examples, but there are exceptions.
- 2. \sum_{1} is almost exact for k = n 1.
- 3. \sum_{1} may cause double counting thus causing the number distinct subsequences to be underestimated.

Considering small values of n, (say n = 4 and k = 1, 2, 3) we see on the next page the comparison of the formula in Theorem 4.1 with the value of $\binom{n}{k}$ in the Table 17. We can observe from the first row of the Table 17 that our formula gave us a value greater than $\binom{n}{k}$ when k was 1. However, when k was 2, our formula gave us a smaller value than $\binom{n}{k}$. We see that we do not always produce a number that is smaller than $\binom{n}{k}$. We therefore believe that further research work needs to be carried out so that we can determine the true nature of the above Theorem.

Table 17: Comparison of the Main theorem with $\binom{n}{k}$.

\overline{k}	Formula	$\binom{n}{k}$
1	5.224	4
2	4.833	6
3	1.5	4

Derivation of the number of distinct subsequences: For example, taken

$$\pi = 41325, k = 3,$$

we obtain from Table 18:

Table 18: Distinct subsequences in a permutation.

312	213	123	132	321
413	415	135	132	432
412	435	125	null	null
null	425	null	null	null
null	325	null	null	null

From table 18, given $2^n - \sum_1$ (where \sum_1 is repeats of Type A), we have the total left to be 2. In reality, there are 5 distinct subsequences of length 3 which are under the permutation 312, 213, 123, 132 and 321. However, after removing pairs and taking the type A duplicates out we are left with only 2 distinct categories (132 and 321). Because of double counting the total number of duplicates is 8 (these are under categories 312, 213 and 123). The established upper bound might not be a good upper bound because we might have a duplication caused by a and c and the same duplication caused by a and b.

4.2 Special Cases of Theorem 4

4.2.1 Case 1, Successions with k = n - 1

When k = n - 1 we can only have successions. No other values of r, t are possible, e.g. $t \ge 2$. We can only have t = 1, r = 0. The formula reduces to

$$\frac{2(n-1)(n-1)(n-2)!}{n!} \binom{n-2}{n-2} \\
= \frac{2(n-1)(n-1)(n-2)!}{n(n-1)(n-2)!} \\
= \frac{2(n-1)}{n} \\
\approx 2 \\
\le 2\binom{n}{k} = \binom{n}{n-1} = \binom{n}{1} = n. \tag{15}$$

This gives the expected number of successions to be 2, as per the result in Allison et al (2013). The formula is thus exact as stated earlier.

4.2.2 Case 1 - Successions with r = 0

By way of a motivating example, assuming 5 and 8 are in the positions 15 and 16, if we pick 5, then we will not consider the numbers 6,7,8. In this case, we will be left with 16 choose 11 possibilities for the other numbers.

We define t = |c - b| = 1, (n - 1) = number of starting positions and 2(n - 1)(n - 2)!/n! = number of ways of arranging the remaining numbers. The formula thus yields

$$\frac{2(n-1)(n-1)(n-2)!}{n!} \binom{n-2}{k-1} \\
= \frac{2(n-1)(n-1)(n-2)!}{n(n-1)(n-2)!} \binom{n-2}{k-1} \\
= \frac{2(n-1)}{n} \binom{n-2}{k-1} \\
= \frac{2(n-1)}{n} \frac{(n-2)!}{(k-1)!(n-2)-(k-1)]!} \\
= \frac{2n(n-1)(n-2)!k(n-k)}{n^2k(k-1)!(n-k-1)!(n-k)} \\
= \frac{2n!k(n-k)}{n^2k!(n-k)!} \\
= 2\left(\frac{k}{n}\right) \left(\frac{n-k}{n}\right) \left(\frac{n!}{(n-k)!k!}\right) \\
= 2\left(\frac{k}{n}\right) \left(\frac{n-k}{n}\right) \binom{n}{k}. \tag{16}$$

4.2.3 Case 2 - Near Successions with r=0

First consider t = 2, r = 0, where the two numbers are next to each other but differ by 2. The formula gives

$$\frac{2(n-1)(n-2)(n-2)!}{n!} \binom{n-3}{k-1} \\
= \frac{2(n-2)}{n} \binom{n-3}{k-1} \\
= \frac{2(n-2)}{n} \binom{n-3}{k-1} \\
= \frac{2(n-2)}{n} \frac{k}{k} \frac{(n-3)!n(n-1)(n-k)(n-k-1)}{(n-k)(n-k-1)(n-k-2)(n-k)(n-k-1)} \\
= \frac{2kn!(n-k)(n-k-1)}{nk!n(n-1)(n-k)!} \\
= \frac{2k}{n^2} \frac{n-k}{n} \frac{(n-k-1)}{n-1} \frac{n!}{(n-k)!k!} \\
= \frac{2k}{n^2} \frac{n-k}{n} \frac{(n-k-1)}{n-1} \binom{n}{k} \\
\leq \frac{2k}{n} \left(\frac{n-k}{n}\right)^2 \binom{n}{k}. \tag{17}$$

Now for t = 3 and r = 0, (for example 5,8). These numbers are next to each other but they differ by 3.

$$\frac{2(n-1)(n-3)(n-2)!}{n!} \binom{n-4}{k-1} \\
= \frac{2(n-3)}{n} \binom{n-4}{k-1} \\
= \frac{2(n-3)(n-4)!(n-2)(n-1)n(n-k-2)(n-k-1)(n-k)k}{n \cdot k(k-1)!(n-k-3)!(n-k-2)(n-k-1)(n-k-1)(n-k)(n-2)(n-1)n} \\
= \frac{2 \cdot k \cdot n!(n-k-2)(n-k-1)(n-k)}{k!(n-k)!(n-2)(n-1)n^2} \\
= \frac{2k}{n} \left(\frac{n-k}{n}\right) \left(\frac{n-k-1}{n-1}\right) \left(\frac{n-k-2}{n-2}\right) \\
\le 2\left(\frac{k}{n}\right) \left(\frac{n-k}{n}\right)^3 \binom{n}{k}. \tag{18}$$

In general, the total contribution of the r=0 case can be bounded by

$$= \left[2\left(\frac{k}{n}\right) \left(\frac{n-k}{n}\right) \binom{n}{k} + 2\left(\frac{k}{n}\right) \left(\frac{n-k}{n}\right)^2 \binom{n}{k} + 2\left(\frac{k}{n}\right) \left(\frac{n-k}{n}\right)^3 \binom{n}{k} + \dots \right]$$

$$= 2\left(\frac{k}{n}\right) \left(1 - \frac{k}{n}\right) \binom{n}{k} \left[1 + \left(1 - \frac{k}{n}\right)^2 + \left(1 - \frac{k}{n}\right)^3 + \dots \right]$$

$$\leq 2\left(\frac{k}{n}\right) \left(1 - \frac{k}{n}\right) \frac{1}{1 - \left(1 - \frac{k}{n}\right)} \binom{n}{k}, \tag{19}$$

yielding

Proposition 4.2. The total contribution of duplicates by adjacent terms is $\leq 2\left(1-\frac{k}{n}\right)\binom{n}{k}$

We combine these contributions for $k \ge n/2$ to yield

$$2\sum_{k=n/2+1}^{n} \left(1 - \frac{k}{n}\right) \binom{n}{k} = 2\sum_{k=n/2}^{n} \binom{n}{k} - 2\sum_{k=n/2+1}^{n} \frac{k}{n} \binom{n}{k}$$

$$= 2 \cdot \frac{1}{2} \cdot 2^{n} - 2\sum_{k=n/2+1}^{n} \frac{k}{n} \frac{n!}{(n-k)!k!}$$

$$= 2^{n} - 2\sum_{k=n/2+1}^{n} \binom{n-1}{k-1} = 2^{n} - 2\sum_{j=n/2}^{n-1} \binom{n-1}{j}$$

$$= 2^{n-1}.$$
(20)

4.2.4 Other Cases: Non-successions with r=1

In this next step, we consider the case r = 1 and t = 1. Thus the position difference for the two numbers b, c is 1 and the numerical difference is 1. An example

of such numbers are 5x6. The formula yields

$$\frac{2(n-1)(n-2)(n-2)!}{n!} \binom{n-3}{k-1} \\
= \frac{2(n-2)}{n} \binom{n-3}{k-1} \\
= \frac{2(n-2)(n-3)!(n-1)n(n-k-1)(n-k)k}{n \cdot k(k-1)!(n-2-k)!n(n-1)(n-k-1)(n-k)} \\
= 2\binom{n}{k} \frac{k}{n} \frac{(n-k-1)(n-k)}{n(n-1)} \\
\leq 2\binom{n}{k} \frac{k}{n} \frac{(n-k)}{n} \frac{(n-k)}{n}.$$
(21)

Now we consider r = 1, t = 2. As an example, we consider the numbers 5x7, and note we can either have the number 6 between them or outside. When 6 lies outside of these two numbers, we will have another number to lie between this interval. This gives us two conditions (the case number in-value (eg 6) lies between them and the case when another number lies between them but we have to rule both the 6 and that number out since they can cause a repetition. This gives, via Theorem 4:

$$\frac{2(n-2)(n-2)}{n!} \left[(n-3)! \binom{n-3}{k-1} + ((n-2)! - (n-3)!) \binom{n-4}{k-1} \right] \\
= \frac{2(n-2)(n-2)}{n!} \left[(n-3)! \binom{n-3}{k-1} + (n-2)! \binom{n-4}{k-1} - (n-3)! \binom{n-4}{k-1} \right] \\
= \frac{2(n-2)(n-2)}{n!} \left[(n-2)! \binom{n-4}{k-1} + (n-3)! \binom{n-3}{k-1} - \binom{n-4}{k-1} \right] \\
= \frac{2(n-2)(n-2)}{n!} \left[(n-2)! \binom{n-4}{k-1} + (n-3)! \binom{n-4}{k-2} \right] \\
= \frac{2(n-2)(n-2)}{n!} \binom{n-4}{k-1} + \frac{2(n-2)(n-2)(n-3)!}{n!} \binom{n-4}{k-2} \\
= \frac{2(n-2)(n-2)(n-2)!}{n!} \binom{n-4}{k-1} + \frac{2(n-2)(n-2)(n-3)!}{n!} \binom{n-4}{k-2} \\$$
(22)

For the first part, we have

$$\frac{2(n-2)(n-2)!}{n(n-1)(n-2)!} {n-4 \choose k-1}$$

$$= \frac{2(n-2)(n-2)(n-4)!}{n(n-1)(n-k-3)!(k-1)!}$$

$$= \frac{2(n-2)(n-2)(n-4)!kn(n-1)(n-3)(n-k-2)(n-k-1)(n-k)}{n(n-1)(n-k-3)!(k-1)!k}$$

$$= \frac{2n!(n-2)(n-k-2)(n-k-1)k(n-k)}{k!n(n-1)(n-k)!(n-3)}$$

$$= 2{n \choose k} \frac{n-k}{n} * \frac{n-k-1}{n-1} * \frac{(n-k-2)(n-2)}{(n-1)(n-3)} \frac{k}{n}$$
(23)

Since $(n-k-2)(n-2) \le (n-k-1)(n-3)$, (23) reduces to

$$\frac{k}{n} \left(\frac{n-k}{n} \right)^2 \binom{n}{k}.$$

For the 2nd part, note that

$$\frac{2(n-2)(n-2)(n-3)!}{n!} \binom{n-4}{k-2} \\
= \frac{2(n-2)(n-2)(n-3)!}{n!} \binom{n-4}{k-2} \\
= \frac{2(n-2)(n-2)(n-3)!n(n-1)(n-3)(n-k-1)(n-k)k(k-1)}{n(n-1)(n-k-1)!(n-k)!} \\
= 2\frac{k}{n} * \frac{k-1}{n-1} * \frac{n-k}{n} * \frac{n-k-1}{n-1} \frac{1}{n-3} \binom{n}{k} \\
\le 2\left(\frac{k}{n}\right)^2 * \left(\frac{n-k}{n}\right)^2 * \frac{1}{n-3} \binom{n}{k}. \tag{24}$$

5 CONCLUSION

In conclusion, we see that many of the earlier terms in the formula of Theorem 4 can be analyzed so as to be smaller that $\binom{n}{k}$. In future work, we need to complete this analysis and make further progress towards proving our conjecture.

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APPENDIX

n = 3

```
> result$count <- number
 > result
    perm
                      elements count
perm elements
1 123 1, 12, 123
2 132 1, 12, 21, 132
3 213 1, 21, 12, 213
4 312 1, 21, 12, 231
5 231 1, 12, 21, 312
6 321 1, 21, 321
                                            3
                                             4
                                             4
                                             4
                                             4
3
> R=((result$count)+1); R# Number of Embedded Sequences for each possible sequence of n
[1] 4 5 5 5 5 4
> table (R)# Yields the frequency table of the number of Embedded Sequences for each possible sequence of n
R
4 5
2 4
 > S=sum(R); S # Total number of Embedded Sequences
> 5=Sum(K); S # ]
[1] 28
> A=length(R); A
[1] 6
 > prob.dist<-prop.table(table(R))</pre>
 > prob.dist
 R
 0.3333333 0.6666667
 > E<-(S/A);E
[1] 4.666667
 > V<-sum(unique((result$count)+1)^2*prob.dist)-E^2;V</pre>
 [1] 0.2222222
```

```
n=4
```

```
> result
                               perm
                                                                      elements count
                                                1, 12, 123, 1234
1, 12, 21, 123, 132, 1243
                              1234
                              1243
                                                                                      6
                                           1, 12, 21, 132, 123, 213, 1324
1, 12, 21, 132, 123, 231, 1342
                           3
                              1324
                           4 1423
                                           1, 12, 21, 123, 132, 312, 1423
1, 12, 21, 132, 321, 1432
                           5 1342
                           6
                              1432
                                                                                      6
                                                1, 21, 12, 213, 123, 2134
1, 21, 12, 213, 132, 2143
                               2134
                           8 2143
                                                                                      6
                           9 3124
                                           1, 21, 12, 231, 213, 123, 2314
                           10 4123
                                                1, 21, 12, 231, 123, 2341
                                                                                      6
                           11 3142 1, 21, 12, 213, 231, 312, 132, 2413
                                                                                     8
                           12 4132
                                          1, 21, 12, 231, 321, 132, 2431
                           13 2314 1, 12, 21, 312, 123, 213, 3124
14 2413 1, 12, 21, 312, 132, 213, 231, 3142
                                                                                      8
                                           1, 21, 12, 321, 213, 3214
1, 21, 12, 321, 231, 213, 3241
                           15 3214
                                                                                      6
                           16 4213
                                                 1, 12, 21, 312, 231, 3412
1, 21, 12, 321, 231, 3421
                           17 3412
                                                                                      6
                           18 4312
                                                                                      6
                           19 2341
                                                 1, 12, 21, 123, 312, 4123
                                                                                      6
                           20 2431
                                           1, 12, 21, 132, 312, 321, 4132
                                           1, 21, 12, 213, 321, 312, 4213
1, 21, 12, 231, 321, 312, 4231
                           21 3241
                           22 4231
                           23 3421
                                                 1, 12, 21, 312, 321, 4312
1, 21, 321, 4321
                                                                                     6
                           24 4321
                                                                                     4
> R=((result$count)+1); R# Number of Embedded Sequences for each possible sequence of n
 [1] 5 7 8 8 8 7 7 7 8 7 9 8 8 9 7 8 7 7 7 8 8 8 7 5
> table (R )# Yields the frequency table of the number of Embedded Sequences for each possible sequence of n
R
 5 7 8 9
2 10 10 2
> S=sum(R); S # Total number of Embedded Sequences
[1] 178
> A=length(R);A
[1] 24
> prob.dist<-prop.table(table(R))
> prob.dist
0.08333333 0.41666667 0.41666667 0.08333333
> E<-(S/A)
[1] 7.416667
> V<-sum(unique((result$count)+1)^2*prob.dist)-E^2
[1] 0.9097222
```

n=5

```
> result
         perm
                                                                                                                                            elements count
        12345
                                                                                                                 1, 12, 123, 1234, 12345
        12354
                                                                                      1, 12, 21, 123, 132, 1234, 1243, 12354
                                                                                                                                                                    8
                                                                  1, 12, 21, 123, 132, 213, 1243, 1234, 1324, 12435
1, 12, 21, 123, 132, 231, 1243, 1234, 1342, 12453
3
        12435
                                                                                                                                                                  10
4
        12534
                                                                                                                                                                  10
 5
        12453
                                                                   1, 12, 21, 123, 132, 312, 1234, 1243, 1423, 12534
                                                                             1, 12, 21, 123, 132, 321, 1243, 1432, 12543
 6
        12543
                                                                                                                                                                   9
                                                                  1, 12, 21, 132, 123, 213, 1324, 1234, 2134, 13245
1, 12, 21, 132, 123, 213, 1324, 1243, 2143, 13254
        13245
                                                                                                                                                                  10
 8
        13254
                                                                                                                                                                  10
 9
        14235
                                               1, 12, 21, 132, 123, 231, 213, 1342, 1324, 1234, 2314, 13425
                                                                                                                                                                  12
                                                                  1, 12, 21, 132, 123, 231, 1342, 1234, 2341, 13452
10
       15234
                                                                                                                                                                  10
                           1, 12, 21, 132, 123, 213, 231, 312, 1324, 1342, 1423, 1243, 2413, 13524
1, 12, 21, 132, 123, 231, 321, 1342, 1432, 1243, 2431, 13542
11
       14253
                                                                                                                                                                  14
12
        15243
                                                                                                                                                                  12
                           1, 12, 21, 123, 132, 312, 213, 1423, 1234, 1324, 3124, 14235
1, 12, 21, 123, 132, 312, 213, 231, 1423, 1243, 1324, 1342, 3142, 14253
13
       13425
                                                                                                                                                                  12
14
        13524
                                                                                                                                                                  14
                                      1, 12, 21, 132, 123, 321, 213, 1432, 1324, 3214, 14325
1, 12, 21, 132, 123, 321, 231, 213, 1432, 1342, 1324, 3241, 14352
15
        14325
                                                                                                                                                                  11
16
       15324
                                                                                                                                                                  13
                                                          1, 12, 21, 123, 132, 312, 231, 1423, 1342, 3412, 14523
1, 12, 21, 132, 123, 321, 231, 1432, 1342, 3421, 14532
17
        14523
                                                                                                                                                                  11
18
       15423
                                                                                                                                                                  11
                                               1, 12, 21, 123, 132, 312, 1234, 1423, 4123, 15234
1, 12, 21, 123, 132, 312, 321, 1243, 1423, 1432, 4132, 15243
       13452
19
                                                                                                                                                                  10
 20
       13542
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1, 12, 21, 132, 123, 231, 321, 312, 1342, 1432, 1423, 4231, 15342
        14352
 21
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 22
        15342
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                                                         1, 12, 21, 123, 132, 312, 312, 1432, 1423, 4231, 15342

1, 12, 21, 123, 132, 312, 321, 1423, 1432, 4312, 15423

1, 12, 21, 132, 321, 1432, 4321, 15432

1, 21, 12, 213, 123, 2134, 2134, 2134, 21354

1, 21, 12, 213, 132, 123, 2134, 2134, 1324, 21435

1, 21, 12, 213, 132, 123, 2143, 2134, 1342, 21453

1, 21, 12, 213, 132, 123, 231, 2143, 2134, 1342, 21453
 23
        14532
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 24
        15432
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        21345
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 25
 26
        21354
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 27
        21435
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 28
        21534
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1, 21, 12, 231, 213, 132, 321, 2143, 1432, 21543

1, 21, 12, 231, 213, 123, 2314, 2134, 1234, 23145

1, 21, 12, 231, 213, 132, 123, 2314, 2143, 1243, 23154
 29
        21453
                                                                                                                                                                  11
 30
        21543
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        31245
 31
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 32
        31254
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                                                                   1, 21, 12, 231, 213, 123, 2341, 2314, 1234, 23415
 33
        41235
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 34
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 35
      41253
                                                                                                                     13
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1, 21, 12, 213, 231, 312, 123, 132, 2413, 2134, 2314, 3124, 1324, 24135
      51243
 36
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 37
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 39
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42
      51423
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43
      31452
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     31542 1, 21, 12, 213, 231, 132, 312, 213, 2413, 4132, 1423, 25143
41352 1, 21, 12, 213, 321, 312, 132, 132, 2314, 2413, 4213, 1423, 25314
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46
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      41532
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      24153
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84
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89
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90
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                                         1, 12, 21, 123, 312, 231, 4123, 3412, 45123
1, 12, 21, 132, 312, 231, 321, 4132, 3412, 3421, 45132
91
     34512
                                                                                                                     9
92
     35412
                                                                                                                    11
93
     43512
                                         1, 21, 12, 213, 321, 312, 231, 4213, 3421, 3412, 45213
                                                                                                                    11
                                                1, 21, 12, 231, 321, 312, 4231, 3421, 3412, 45231
94
     53412
                                                                                                                    10
                                                1, 12, 21, 312, 321, 231, 4312, 3412, 3421, 45312
95
     45312
                                                                                                                    10
     54312
96
                                                              1, 21, 12, 321, 231, 4321, 3421, 45321
                                                                                                                      8
                                         1, 12, 21, 123, 312, 1234, 4123, 51234
1, 12, 21, 123, 312, 132, 321, 1243, 4123, 4132, 51243
97
     23451
                                                                                                                      8
98
     23541
                                                                                                                    11
                           1, 12, 21, 132, 123, 312, 213, 321, 1324, 4132, 4123, 4213, 51324
99
     24351
                                                                                                                    13
100 25341
                           1, 12, 21, 132, 312, 123, 231, 321, 1342, 4132, 4123, 4231, 51342
                                                                                                                    13
101 24531
                                 1, 12, 21, 123, 132, 312, 321, 1423, 4123, 4132, 4312, 51423
                                                                                                                    12
102 25431
                                                1, 12, 21, 132, 312, 321, 1432, 4132, 4321, 51432
                                                                                                                    10
103 32451
                                         1, 21, 12, 213, 321, 123, 312, 2134, 4213, 4123, 52134
```

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103 32451
                                       1, 21, 12, 213, 321, 123, 312, 2134, 4213, 4123, 52134
    104 32541
                                       1, 21, 12, 213, 321, 132, 312, 2143, 4213, 4132, 52143
                                                                                                        11
    105 42351
                           1, 21, 12, 231, 213, 321, 312, 123, 2314, 4231, 4213, 4123, 52314
                                                                                                        13
    106 52341
                                       1, 21, 12, 231, 321, 123, 312, 2341, 4231, 4123, 52341
                                                                                                        11
    107 42531
                    1, 21, 12, 213, 231, 321, 312, 132, 2413, 4213, 4231, 4312, 4132, 52413
                                                                                                        14
                                 1, 21, 12, 231, 321, 132, 312, 2431, 4231, 4321, 4132, 52431
1, 12, 21, 312, 123, 213, 321, 3124, 4312, 4123, 4213, 53124
    108 52431
                                                                                                        12
    109 34251
                                                                                                        12
    110 35241
                    1, 12, 21, 312, 132, 213, 321, 231, 3142, 4312, 4132, 4213, 4231, 53142
                                                                                                        14
    111 43251
                                             1, 21, 12, 321, 213, 312, 3214, 4321, 4213, 53214
                                                                                                        10
    112 53241
                                 1, 21, 12, 321, 231, 213, 312, 3241, 4321, 4231, 4213, 53241
                                                                                                        12
    113 45231
                                             1, 12, 21, 312, 231, 321, 3412, 4312, 4231, 53412
                                                                                                        10
    114 54231
                                             1, 21, 12, 321, 231, 312, 3421, 4321, 4231, 53421
                                                                                                        10
    115 34521
                                                   1, 12, 21, 123, 312, 321, 4123, 4312, 54123
                                                                                                         9
                                             1, 12, 21, 132, 312, 321, 4132, 4312, 4321, 54132
1, 21, 12, 213, 321, 312, 4213, 4321, 4312, 54213
    116 35421
                                                                                                        10
    117 43521
                                                                                                        10
    118 53421
                                             1, 21, 12, 231, 321, 312, 4231, 4321, 4312, 54231
                                                                                                        10
    119 45321
                                                         1, 12, 21, 312, 321, 4312, 4321, 54312
                                                                                                         8
   120 54321
                                                                          1, 21, 321, 4321, 54321
                                                                                                         5
> R=((result$count)+1); R# Number of Embedded Sequences for each possible sequence of n
[1] 6 9 11 11 11 10 11 11 13 11 15 13 13 15 12 14 12 12 11 13 14 14 12 9 9 11 11 12 12 10 11 12 11 9 14
 12 15 15 14
 [40] 14 14 13 14 14 16 14 14 11 11 12 15 14 15 14 10 10 13 12 14 12 12 14 12 13 10 10 14 15 14 15 12 11 11 14
 14 16 14 14
 [79] 13 14 14 14 15 15 12 14 9 11 12 11 10 12 12 11 11 9 9 12 14 14 13 11 12 12 14 12 15 13 13 15 11 13 11
 11 10 11 11
[118] 11 9 6
> table (R )# Yields the frequency table of the number of Embedded Sequences for each possible sequence of n
 6 9 10 11 12 13 14 15 16
2 8 8 26 22 12 28 12 2
> S=sum(R); S # Total number of Embedded Sequences
[1] 1474
> A=length(R);A
[1] 120
> prob.dist<-prop.table(table(R))</pre>
> prob.dist
                                 10
                                                         12
                                                                      13
                                             11
0.01666667 0.06666667 0.06666667 0.21666667 0.18333333 0.10000000 0.23333333 0.10000000 0.01666667
> E<-(S/A)
[1] 12.28333
> V<-sum(unique((result$count)+1)^2*prob.dist)-E^2
[1] -4.196944
```

```
n = 6
```

```
> table (R )# Yields the frequency table of the number of Embedded Sequences for each possible sequence of n
R
7 11 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29
2 8 14 20 18 18 58 48 52 72 70 36 80 76 66 6 44 24 8
> S=sum(R); S # Total number of Embedded Sequences
[1] 15224
> A=length(R); A
[1] 720
> prob.dist<-prop.table(table(R))
> prob.dist
                 11 13 14 15 16 17 18 19
    20
24
                       23
0.097222222\ 0.050000000\ 0.1111111111\ 0.105555556\ 0.091666667\ 0.008333333\ 0.0611111111\ 0.033333333\ 0.0111111111
> E<-(S/A)
> E
[1] 21.14444
> V<-sum(unique((result$count)+1)^2*prob.dist)-E^2
[1] 25.63469
```

n = 7

```
S=sum(R); S # Total number of Embedded Sequences
[1] 189524
> A=length(R); A
[1] 5040
> prob.dist<-prop.table(table(R))</pre>
> prob.dist
                    13
                                16
                                           17
                                                       19
                                                                   20
                                                                              21
                                                                                          22
26
                                            27
                                                       28
                                                                   29
0.0142857143 0.0103174603 0.0202380952 0.0174603175 0.0206349206 0.0333333333 0.0388888889 0.0285714286 0.0373
015873
                    34
                                35
                                            36
                                                       37
                                                                   38
                                                                              39
                                                                                          40
0.0365079365 0.0380952381 0.0507936508 0.0412698413 0.0575396825 0.0329365079 0.0515873016 0.0428571429 0.0333
                    43
                                44
                                           45
                                                       46
                                                                   47
                                                                              48
                                                                                          49
   50
0.0460317460 0.0730158730 0.0301587302 0.0373015873 0.0230158730 0.0230158730 0.0238095238 0.0230158730 0.0079
                    52
                                53
                                           54
                                                       55
0.0261904762 0.0142857143 0.0079365079 0.0047619048 0.0047619048 0.0019841270
> E<-(S/A); E
[1] 37.60397
> V<-sum(unique((result$count)+1)^2*prob.dist)-E^2;V
[1] 76.07927
```

n = 8

```
> table (R)# Yields the frequency table of the number of Embedded Sequences for each possible sequence of n
   9
            19
                  20
                                                        29
                                                              30
                                                                                                         38
                                                                                                               39
                                                                                                                    40
                             23
                                  24
                                        26
                                                   28
                                                                   31
                                                                         32
                                                                              33
                                                                                              36
  41
       42
   2
        8
            12
                  20
                       14
                             26
                                  20
                                         8
                                             48
                                                        72
                                                              48
                                                                  108
                                                                        96
                                                                              72
                                                                                              88
                                                                                                  134
                                                                                                                  188
                                                   36
                                                                                   68
                                                                                       146
                                                                                                        228
                                                                                                             224
 426
      238
  43
       44
            45
                  46
                        47
                             48
                                  49
                                        50
                                             51
                                                   52
                                                        53
                                                              54
                                                                   55
                                                                         56
                                                                              57
                                                                                   58
                                                                                         59
                                                                                              60
                                                                                                    61
                                                                                                         62
                                                                                                              63
                                                                                                                    64
  65
       66
 266
      336
            424
                 258
                      416
                            504
                                 548
                                       640
                                            450
                                                  386
                                                       908
                                                             592
                                                                  756
                                                                       624
                                                                             808
                                                                                  736
                                                                                       944
                                                                                             504
                                                                                                   990
                                                                                                        896
                                                                                                             856
                                                                                                                   856
 892 1056
  67
       68
             69
                  70
                             72
                                  73
                                        74
                                             75
                                                   76
                                                        77
                                                              78
                                                                   79
                                                                        80
                                                                              81
                                                                                   82
                                                                                         83
                                                                                              84
                                                                                                    85
                                                                                                         86
                                                                                                                    88
                        71
  89
       90
1136
      900
            960
                 796
                      860
                            880 1014
                                      856
                                            968
                                                  816
                                                       712
                                                            888
                                                                  916
                                                                       746 1000
                                                                                  746
                                                                                       716
                                                                                             604
                                                                                                   540
                                                                                                        604
                                                                                                             608 452
434
      348
  91
       92
                  94
                        95
                             96
                                  97
                                        98
                                             99
                                                  100
                                                       101
                                                            102
                                                                  103
                                                                       104
                                                                            105
                                                                                  106
                                                                                       107
                                                                                             108
                                                                                                  109
                                                                                                        110
356
      248
           468
                306 326
                           458
                                340 170
                                           220
                                                 248
                                                       144
                                                                       108
                                                                              64
                                                                                   72
> S=sum(R); S # Total number of Embedded Sequences
[1] 2767428
> A=length(R);A
Γ11 40320
                        > E<-(S/A); E
                        [1] 68.63661
                        > V<-sum(unique((result$count)+1)^2*prob.dist)-E^2;V
                        [1] 201.3242
```

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