

# Strict Bounds for Pattern Avoidance

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# Outline

1. Introduction
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# 1. Introduction

- ▶ Cassaigne conjectured in 1994 that any pattern with  $m$  distinct variables of length at least  $3(2^{m-1})$  is avoidable over 2 letters, and any pattern with  $m$  distinct variables of length at least  $2^m$  is avoidable over 3 letters.
- ▶ Building upon the work of Rampersad and the power series techniques of Bell and Goh, we obtain both of these suggested strict bounds.
- ▶ Similar bounds are also obtained for pattern avoidance in partial words, sequences where some characters are unknown.

Let  $\Sigma$  be an alphabet of letters, denoted by  $a, b, c, \dots$ , and  $\Delta$  be an alphabet of variables, denoted by  $A, B, C, \dots$

- ▶ A **pattern**  $p$  is a word over  $\Delta$ .
- ▶ A word  $w$  over  $\Sigma$  is an **instance** of  $p$  if there exists a non-erasing morphism  $\varphi : \Delta^* \rightarrow \Sigma^*$  such that  $\varphi(p) = w$ .
- ▶ A word  $w$  is said to **avoid**  $p$  if no factor of  $w$  is an instance of  $p$ .

aa b aa *c* contains an instance of *ABA* while *abaca* avoids *AA*

# Avoidability and $k$ -avoidability

- ▶ A pattern  $p$  is **avoidable** if there exist infinitely many words  $w$  over a finite alphabet such that  $w$  avoids  $p$ , or equivalently, if there exists an infinite word that avoids  $p$ .
- ▶ If  $p$  is avoided by infinitely many words over  $k$  letters,  $p$  is  **$k$ -avoidable**.
- ▶ If  $p$  is avoidable, the minimum  $k$  such that  $p$  is  $k$ -avoidable is called the **avoidability index** of  $p$ .

*ABA* is unavoidable while *AA* has avoidability index 3

- ▶ If a pattern  $p$  occurs in a pattern  $q$ , we say  $p$  **divides**  $q$ .  
 $p = ABA$  divides  $q = \underline{ABC} \underline{BB} \underline{ABC} A$ , since we can map  $A$  to  $ABC$  and  $B$  to  $BB$  and this maps  $p$  to a factor of  $q$
- ▶ If  $p$  divides  $q$  and  $p$  is  $k$ -avoidable, there exists an infinite word  $w$  over  $k$  letters that avoids  $p$ ;  $w$  must also avoid  $q$ , thus  $q$  is necessarily  $k$ -avoidable. It follows that  
 the avoidability index of  $q \leq$  the avoidability index of  $p$

- ▶ It is not known if it is generally decidable, given a pattern  $p$  and integer  $k$ , whether  $p$  is  $k$ -avoidable.
- ▶ Thus various authors compute avoidability indices and try to find bounds on them.
- ▶ Cassaigne's 1994 Ph.D. Thesis listed avoidability indices for unary, binary, and most ternary patterns (Ochem 2006 determined the remaining few avoidability indices for ternary patterns).
- ▶ Based on this data, Cassaigne conjectured in his thesis:
  - ▶ Any pattern with  $m$  distinct variables of length at least  $3(2^{m-1})$  is avoidable over 2 letters;
  - ▶ Any pattern with  $m$  distinct variables of length at least  $2^m$  is avoidable over 3 letters.
- ▶ Our main result is the affirmative answer to this long-standing conjecture of Cassaigne.

## 2. Two sequences of unavoidable patterns

Both bounds suggested by Cassaigne are strict.

### Proposition

*Let  $p$  be a  $k$ -unavoidable pattern over  $\Delta$  and  $A \in \Delta$  be a variable that does not occur in  $p$ . Then the pattern  $pAp$  is  $k$ -unavoidable.*



# Sequences of patterns that meet the bounds

Let  $A_1, A_2, \dots$  be distinct variables in  $\Delta$ .

- ▶  $Z_0 = \varepsilon$  and for all  $m \geq 0$ ,  $Z_{m+1} = Z_m A_{m+1} Z_m$

Since  $\varepsilon$  is  $k$ -unavoidable for every positive integer  $k$ , the previous proposition implies  $Z_m$  is  $k$ -unavoidable for all  $m \in \mathbb{N}$  by induction on  $m$ . Thus  $Z_m$  is a 3-unavoidable pattern over  $m$  variables with length  $2^m - 1$  for all  $m \in \mathbb{N}$ .

- ▶  $R_1 = A_1 A_1$  and for all  $m \geq 1$ ,  $R_{m+1} = R_m A_{m+1} R_m$

Since  $A_1 A_1$  is 2-unavoidable, the previous proposition implies  $R_m$  is 2-unavoidable for all  $m \in \mathbb{N}$  by induction on  $m$ . Thus  $R_m$  is a 2-unavoidable pattern over  $m$  variables with length  $3(2^{m-1}) - 1$  for all  $m \in \mathbb{N}$ .

### 3. The power series approach

#### Theorem

Let  $S$  be a set of words over  $k$  letters with each word of length at least two. Suppose that for each  $i \geq 2$ , the set  $S$  contains at most  $c_i$  words of length  $i$ . If the power series expansion of

$$B(x) := \left(1 - kx + \sum_{i \geq 2} c_i x^i\right)^{-1}$$

has non-negative coefficients, then there are at least  $[x^n]B(x)$  words of length  $n$  over  $k$  letters that have no factors in  $S$ .

To count the number of words of length  $n$  avoiding a pattern  $p$ , we let  $S$  consist of all instances of  $p$ .

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Rampersad, N.: Further applications of a power series method for pattern avoidance. *The Electronic Journal of Combinatorics* **18** (2011) P134

## Bell and Goh's lemma (a useful upper bound)

Let  $m \geq 1$  be an integer and  $p$  be a pattern over an alphabet  $\Delta = \{A_1, \dots, A_m\}$ . Suppose that for  $1 \leq i \leq m$ , the variable  $A_i$  occurs  $d_i \geq 1$  times in  $p$ . Let  $k \geq 2$  be an integer and let  $\Sigma$  be a  $k$ -letter alphabet. Then for  $n \geq 1$ , the number of words of length  $n$  over  $\Sigma$  that are instances of the pattern  $p$  is no more than  $[x^n]C(x)$ , where

$$C(x) := \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} x^{d_1 i_1 + \cdots + d_m i_m}$$

Note that this approach for counting instances of a pattern is based on the frequencies of each variable in the pattern, so it will not distinguish  $AABB$  and  $ABAB$ , for example.

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Bell, J., Goh, T.L.: Exponential lower bounds for the number of words of uniform length avoiding a pattern. *Information and Computation* **205** (2007) 1295–1306

## 4. Derivation of the strict bounds

### Lemma

Suppose  $k \geq 2$  and  $m \geq 1$  are integers and  $\lambda > \sqrt{k}$ . For any integer  $P$  and integers  $d_j$  for  $1 \leq j \leq m$  such that  $d_j \geq 2$  and  $P = d_1 + \cdots + d_m$ ,

$$\prod_{i=1}^m \frac{1}{\lambda^{d_i - k}} \leq \left( \frac{1}{\lambda^2 - k} \right)^{m-1} \left( \frac{1}{\lambda^{P-2(m-1)} - k} \right)$$

# Proof

The proof is by induction on  $m$ .

- ▶ For  $m = 1$ ,  $d_1 = P$  and the inequality is trivially satisfied.
- ▶ Suppose the inequality holds for  $m$  and  $d_1 + d_2 + \cdots + d_{m+1} = P$  with  $d_j \geq 2$  for  $1 \leq j \leq m + 1$ .
- ▶ Letting  $P' = P - d_{m+1} = d_1 + \cdots + d_m$ , the inductive hypothesis implies

$$\prod_{i=1}^m \frac{1}{\lambda^{d_i - k}} \leq \left( \frac{1}{\lambda^2 - k} \right)^{m-1} \left( \frac{1}{\lambda^{P' - 2(m-1) - k}} \right)$$

## Proof continued

- ▶ Let  $c_1 = P' - 2(m - 1)$  and  $c_2 = d_{m+1}$ .
- ▶ Since  $\lambda > \sqrt{k}$  and  $c_1, c_2 \geq 2$ ,

$$(\lambda^{c_1-1} - \lambda)(\lambda^{c_2-1} - \lambda) \geq 0,$$

$$\lambda^{c_1+c_2-2} + \lambda^2 \geq \lambda^{c_1} + \lambda^{c_2},$$

$$-k(\lambda^{c_1} + \lambda^{c_2}) \geq -k(\lambda^{c_1+c_2-2} + \lambda^2),$$

$$(\lambda^{c_1} - k)(\lambda^{c_2} - k) \geq (\lambda^{c_1+c_2-2} - k)(\lambda^2 - k),$$

$$\frac{1}{(\lambda^{c_1} - k)(\lambda^{c_2} - k)} \leq \frac{1}{(\lambda^{c_1+c_2-2} - k)(\lambda^2 - k)}$$

## Proof continued

- ▶ Substituting the  $c_i$ 's,

$$\frac{1}{(\lambda^{P'-2(m-1)} - k)(\lambda^{d_{m+1}} - k)} \leq \frac{1}{(\lambda^{P'-2m+d_{m+1}} - k)(\lambda^2 - k)}$$

- ▶ Multiplying the inductive hypothesis by  $\frac{1}{\lambda^{d_{m+1}} - k}$ ,

$$\prod_{i=1}^{m+1} \frac{1}{\lambda^{d_i} - k} \leq \left(\frac{1}{\lambda^2 - k}\right)^{m-1} \left(\frac{1}{\lambda^{P'-2(m-1)} - k}\right) \frac{1}{\lambda^{d_{m+1}} - k}$$

- ▶ Substituting the above inequality,

$$\begin{aligned} \prod_{i=1}^{m+1} \frac{1}{\lambda^{d_i} - k} &\leq \left(\frac{1}{\lambda^2 - k}\right)^m \left(\frac{1}{\lambda^{P'+d_{m+1}-2m} - k}\right) \\ &= \left(\frac{1}{\lambda^2 - k}\right)^{(m+1)-1} \left(\frac{1}{\lambda^{P-2((m+1)-1)} - k}\right) \end{aligned}$$

The remaining arguments are based on those of Rampersad's, but add additional analysis to obtain the optimal bounds.

## Lemma

Let  $m$  be an integer and  $p$  be a pattern over  $\Delta = \{A_1, \dots, A_m\}$ . Suppose that for  $1 \leq i \leq m$ ,  $A_i$  occurs  $d_i \geq 2$  times in  $p$ .

1. If  $m \geq 3$  and  $|p| \geq 4m$ , then for  $n \geq 0$ , there are at least  $(1.92)^n$  words of length  $n$  over 2 letters that avoid  $p$ .
2. If  $m \geq 2$  and  $|p| \geq 12$ , then for  $n \geq 0$ , there are at least  $(2.92)^n$  words of length  $n$  over 3 letters that avoid  $p$ .



# Proof

- ▶ Define  $S$  to be the set of all words over an alphabet  $\Sigma$  of size  $k \in \{2, 3\}$  that are instances of the pattern  $p$ .
- ▶ By Bell and Goh's lemma, the number of words of length  $n$  in  $S$  is at most  $[x^n]C(x)$ , where

$$C(x) := \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} x^{d_1 i_1 + \cdots + d_m i_m}$$

- ▶ Define  $B(x) := \sum_{i \geq 0} b_i x^i = (1 - kx + C(x))^{-1}$   
Set  $\lambda = k - 0.08$ . Clearly  $b_0 = 1$  and  $b_1 = k$ . We show that  $b_n \geq \lambda b_{n-1}$  for all  $n \geq 1$ , hence  $b_n \geq \lambda^n$  for all  $n \geq 0$ .
- ▶ Then all coefficients of  $B$  are non-negative, thus Rampersad's theorem implies there are at least  $b_n \geq \lambda^n$  words of length  $n$  having no factors in  $S$ , thus avoiding  $p$ .

## Proof continued ( $b_n \geq \lambda b_{n-1}$ for all $n \geq 1$ )

- ▶ By induction on  $n$ , suppose  $b_j \geq \lambda b_{j-1}$  for all  $1 \leq j < n$ .
- ▶ Expanding the left hand side of  $B(x)(1 - kx + C(x)) = 1$ ,

$$\left( \sum_{i \geq 0} b_i x^i \right) \left( 1 - kx + \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} x^{d_1 i_1 + \cdots + d_m i_m} \right)$$

- ▶ Hence for  $n \geq 1$ ,  $[x^n]B(x)(1 - kx + C(x)) = 0$ , i.e.,

$$b_n - kb_{n-1} + \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} b_{n - (d_1 i_1 + \cdots + d_m i_m)} = 0$$

- ▶ Complete the induction by showing the major equation

$$(k - \lambda)b_{n-1} - \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} b_{n - (d_1 i_1 + \cdots + d_m i_m)} \geq 0$$

## Proof continued

- ▶ Because  $b_j \geq \lambda b_{j-1}$  for  $1 \leq j < n$ ,  $b_{n-i} \leq b_{n-1}/\lambda^{i-1}$  for  $1 \leq i \leq n$ . Therefore,

$$\begin{aligned} & \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} b_{n - (d_1 i_1 + \cdots + d_m i_m)} \\ & \leq \lambda b_{n-1} \sum_{i_1 \geq 1} \frac{k^{i_1}}{\lambda^{d_1 i_1}} \cdots \sum_{i_m \geq 1} \frac{k^{i_m}}{\lambda^{d_m i_m}} \end{aligned}$$

- ▶ Since  $d_j \geq 2$  for  $1 \leq j \leq m$ ,  $k \leq 3$ , and  $\lambda > \sqrt{3}$ ,

$$\frac{k}{\lambda^{d_j}} \leq \frac{3}{\lambda^2} < 1$$

thus all the geometric series converge.

- ▶ Computing the result, for  $1 \leq j \leq m$ ,

$$\sum_{i_j \geq 1} \frac{k^{i_j}}{\lambda^{d_j i_j}} = \frac{k/\lambda^{d_j}}{1 - k/\lambda^{d_j}} = \frac{k}{\lambda^{d_j} - k}$$

## Proof continued

- ▶ Thus

$$\sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} b_{n - (d_1 i_1 + \cdots + d_m i_m)} \leq k^m \lambda b_{n-1} \prod_{i=1}^m \frac{1}{\lambda^{d_i} - k}$$

- ▶ Applying our previous lemma to  $P = |p|$ , the key step is

$$\begin{aligned} & \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} k^{i_1 + \cdots + i_m} b_{n - (d_1 i_1 + \cdots + d_m i_m)} \\ & \leq k^m \lambda b_{n-1} \left( \frac{1}{\lambda^2 - k} \right)^{m-1} \left( \frac{1}{\lambda^{|p| - 2(m-1)} - k} \right) \end{aligned}$$

- ▶ It thus suffices to show the final inequality

$$(k - \lambda) \geq \lambda k^m \left( \frac{1}{\lambda^2 - k} \right)^{m-1} \left( \frac{1}{\lambda^{|p| - 2(m-1)} - k} \right)$$

since multiplying this by  $b_{n-1}$  and using the key step derives the major equation.

## Proof continued (Statement 1)

- ▶ The right hand side of the final inequality decreases as  $|p|$  increases, thus it suffices to verify the case  $|p| = 4m$ . The final inequality is easily verified for  $m = 3$  and  $|p| = 12$ .
- ▶ Now consider an arbitrary  $m' \geq 3$  and  $p'$  with  $|p'| = 4m'$ . Substituting  $\lambda = 1.92$  and  $k = 2$ , it follows that

$$\begin{aligned}c &:= \left( \frac{k}{\lambda^2 - k} \right)^{m'-m} \left( \frac{\lambda|p|-2(m-1) - k}{\lambda|p'|-2(m'-1) - k} \right) \\ &\leq (1.19)^{m'-m} \left( \frac{1}{\lambda^{2(m'-m)}} \right) < 1\end{aligned}$$

- ▶ Thus we conclude

$$\begin{aligned}k - \lambda &\geq c \lambda k^m \left( \frac{1}{\lambda^2 - k} \right)^{m-1} \left( \frac{1}{\lambda|p|-2(m-1) - k} \right) \\ &= \lambda k^{m'} \left( \frac{1}{\lambda^2 - k} \right)^{m'-1} \left( \frac{1}{\lambda|p'|-2(m'-1) - k} \right)\end{aligned}$$

## Proof continued (Statement 2)

For  $m \geq 2$ , it suffices to verify the final inequality for  $|p| = \max\{12, 2m\}$ .

- ▶ For  $m = 2$  through  $m = 5$  and  $|p| = 12$ , the equation is easily verified.
- ▶ For  $m \geq 6$ ,  $|p| = 2m$  and

$$\begin{aligned} \lambda k^m \left( \frac{1}{\lambda^2 - k} \right)^{m-1} \left( \frac{1}{\lambda^{|p| - 2(m-1)} - k} \right) &= 2.92 \left( \frac{3}{(2.92)^2 - 3} \right)^m \\ &\leq 2.92(0.5429)^m \\ &\leq 2.92(0.5429)^6 \\ &= 0.07476 \dots \\ &< 0.08 = k - \lambda \end{aligned}$$

□

## Main results (strict bounds)

Both bounds below are strict in the sense that for every positive integer  $m$ , there exists a 2-unavoidable pattern with  $m$  distinct variables and length  $3(2^{m-1}) - 1$  as well as a 3-unavoidable pattern with  $m$  distinct variables and length  $2^m - 1$ .

### Theorem

*Let  $p$  be a pattern with  $m$  distinct variables.*

- 1. If  $|p| \geq 3(2^{m-1})$ , then  $p$  is 2-avoidable.*
- 2. If  $|p| \geq 2^m$ , then  $p$  is 3-avoidable.*

# Proof (Statement 1)

We show by induction on  $m$  that if  $p$  is 2-unavoidable,  $|p| < 3(2^{m-1})$ .

- ▶ For  $m = 1$ , note that  $A^3$  is 2-avoidable, hence  $A^\ell$  is 2-avoidable for all  $\ell \geq 3$ . Thus if a unary pattern  $p$  is 2-unavoidable,  $|p| < 3 = 3(2^{1-1})$ .
- ▶ For  $m = 2$ , it is known that all binary patterns of length 6 are 2-avoidable (Roth 1992), hence all binary patterns of length at least 6 are also 2-avoidable. Thus if a binary pattern  $p$  is 2-unavoidable,  $|p| < 6 = 3(2^{2-1})$ .
- ▶ Now assume the statement holds for  $m \geq 2$  and suppose  $p$  is a 2-unavoidable pattern with  $m + 1$  distinct variables. For the sake of contradiction, assume that  $|p| \geq 3(2^m)$ .



## Proof continued (Statement 1)

- ▶ Suppose  $p$  has a variable  $A$  that occurs exactly once. Let  $p = p_1 A p_2$ , where  $p_1$  and  $p_2$  are patterns with at most  $m$  variables. Without loss of generality, suppose  $|p_1| \geq |p_2|$ . Since  $|p| \geq 3(2^m)$ ,

$$|p_1| \geq \left\lceil \frac{|p| - 1}{2} \right\rceil \geq \left\lceil \frac{3(2^m) - 1}{2} \right\rceil = 3(2^{m-1})$$

By the contrapositive of the inductive hypothesis,  $p_1$  is 2-avoidable. But  $p_1$  divides  $p$ , hence  $p$  is 2-avoidable, a contradiction.

- ▶ Suppose every variable in  $p$  occurs at least twice. Since  $|p| \geq 3(2^m) \geq 4(m+1)$  for  $m \geq 2$ , the previous lemma indicates there are infinitely many words over 2 letters that avoid  $p$ , thus  $p$  is 2-avoidable, a contradiction.



## 5. Extension to partial words

- ▶ We apply the power series approach to obtain similar bounds for avoidability in partial words, sequences that may contain some unknown characters or holes, denoted by  $\diamond$ 's, which are **compatible** or match any letter in the alphabet.



- ▶ The modifications include that now we must avoid all partial words compatible with instances of the pattern. Lots of additional work with inequalities is necessary.

# Partial word avoidability

- ▶ A partial word  $w$  over  $\Sigma$  is an instance of a pattern  $p$  over  $\Delta$  if there exists a non-erasing morphism  $\varphi : \Delta^* \rightarrow \Sigma^*$  such that  $\varphi(p) \uparrow w$ ; the partial word  $w$  avoids  $p$  if none of its factors is an instance of  $p$ .

aa b a  $\diamond$  c contains an instance of  $ABA$  while it avoids  $AAA$

- ▶ A pattern  $p$  is called  **$k$ -avoidable in partial words** if for every  $h \in \mathbb{N}$  there is a partial word with  $h$  holes over  $k$  letters avoiding  $p$ , or, equivalently, if there is a partial word over  $k$  letters with infinitely many holes which avoids  $p$ .
- ▶ The **avoidability index** for partial words is defined analogously to that of full words.

# An upper bound

## Lemma

Let  $m \geq 1$  be an integer and  $p$  be a pattern over an alphabet  $\Delta = \{A_1, \dots, A_m\}$ . Suppose that for  $1 \leq i \leq m$ , the variable  $A_i$  occurs  $d_i \geq 1$  times in  $p$ . Let  $k \geq 2$  be an integer and let  $\Sigma$  be a  $k$ -letter alphabet. Then for  $n \geq 1$ , the number of partial words of length  $n$  over  $\Sigma$  that are compatible with instances of the pattern  $p$  is no more than  $[x^n]C(x)$ , where

$$C(x) := \sum_{i_1 \geq 1} \cdots \sum_{i_m \geq 1} \left( \prod_{j=1}^m (k(2^{d_j} - 1) + 1)^{i_j} \right) x^{d_1 i_1 + \cdots + d_m i_m}$$

# A technical inequality

## Lemma

Suppose  $(k, \lambda) \in \{(2, 2.97), (3, 3.88)\}$  and  $m \geq 1$  is an integer. For any integer  $P$  and integers  $d_j$  for  $1 \leq j \leq m$  such that  $d_j \geq 2$  and  $P = d_1 + \cdots + d_m$ ,

$$\prod_{i=1}^m \frac{k(2^{d_i}-1)+1}{\lambda^{d_i}-(k(2^{d_i}-1)+1)} \leq \left( \frac{3k+1}{\lambda^2-(3k+1)} \right)^{m-1} \left( \frac{k}{\left(\frac{\lambda}{2}\right)^{P-2(m-1)-k}} \right)$$

# Exponential lower bounds

## Lemma

Let  $m \geq 4$  be an integer and  $p$  be a pattern over an alphabet  $\Delta = \{A_1, \dots, A_m\}$ . Suppose that for  $1 \leq i \leq m$ ,  $A_i$  occurs  $d_i \geq 2$  times in  $p$ .

1. If  $|p| \geq 15(2^{m-3})$ , then for  $n \geq 0$ , there are at least  $(2.97)^n$  partial words of length  $n$  over 2 letters that avoid  $p$ .
2. If  $|p| \geq 2^m$ , then for  $n \geq 0$ , there are at least  $(3.88)^n$  partial words of length  $n$  over 3 letters that avoid  $p$ .

## Arbitrarily many holes lemma

Thus for certain patterns, there exist  $\lambda^n$  partial words of length  $n$  that avoid the pattern, for some  $\lambda$ . It is not immediately clear that this is enough to prove the patterns are avoidable in partial words. The next lemma asserts this count is so large that it must include partial words with arbitrarily many holes, thus the patterns are 2-avoidable or 3-avoidable in partial words.

### Lemma

*Suppose  $k \geq 2$  is an integer,  $k < \lambda < k + 1$ ,  $\Sigma$  is an alphabet of size  $k$ , and  $S$  is a set of partial words over  $\Sigma$  with at least  $\lambda^n$  words of length  $n$  for each  $n > 0$ . For all integers  $h \geq 0$ ,  $S$  contains a partial word with at least  $h$  holes.*

- ▶ Unfortunately, the pattern  $A^2BA^2CA^2$  of length  $8 = 2^3$  is unavoidable in partial words (since some  $a_\diamond$  must occur infinitely often), thus to obtain the  $2^m$  bound for avoidability as in the full word case, we require information about quaternary patterns of length  $16 = 2^4$ .
- ▶ Fortunately, for certain patterns, constructions can be made from full words avoiding a pattern to partial words avoiding a pattern that provide upper bounds on avoidability indices.



# Bounds for partial words

## Theorem

*Let  $p$  be a pattern with  $m$  distinct variables.*

- 1. If  $m \geq 3$  and  $|p| \geq 15(2^{m-3})$ , then  $p$  is 2-avoidable in partial words.*
- 2. If  $m \geq 3$  and  $|p| \geq 5(2^{m-2})$ , then  $p$  is 3-avoidable in partial words.*
- 3. If  $m \geq 4$  and  $|p| \geq 2^m$ , then  $p$  is 4-avoidable in partial words.*

3 gives a strict bound for 4-avoidability in partial words

## Proof (Statement 3)

We show by induction on  $m$  that if  $p$  is 4-unavoidable,  $|p| < 2^m$ .

- ▶ We first establish the base case  $m = 4$  by showing that every pattern  $p$  of length  $16 = 2^4$  is 4-avoidable.
- ▶ Using the data in Blanchet-Sadri, Lohr and Scott 2012, the ternary patterns of length at least 7 which have avoidability index greater than 4 are

$A^2BA^2CA^2$ , of length 8

$A^2BA^2CA$ ,  $A^2BACA^2$ ,  $A^2BCA^2B$ , ... of length 7

(up to reversal and renaming of variables).

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Blanchet-Sadri, F., Lohr, A., Scott, S.: Computing the partial word avoidability indices of ternary patterns. In Arumugam, S., Smyth, B., eds.: *IWOCA 2012, 23rd Int'l Workshop on Combinatorial Algorithms*. Vol. 7643 of *LNCS*, Berlin, Heidelberg, Springer-Verlag (2012) 206–218

## Proof continued (Statement 3)

- ▶ If every variable in  $p$  occurs at least twice, our exponential lower bounds imply there exists a set  $S$  with at least  $(3.88)^n$  ternary partial words of length  $n$  that avoid  $p$  for each  $n \geq 0$ . Applying our arbitrarily many holes lemma to  $S$ , for each  $h \geq 0$ , there exists a ternary partial word with at least  $h$  holes that avoids  $p$ . Thus  $p$  is 3-avoidable.
- ▶ Otherwise,  $p$  contains a variable  $\alpha$  that occurs exactly once and  $p = p_1\alpha p_2$  for patterns  $p_1$  and  $p_2$  with at most 3 distinct variables. Note that  $|p_1| + |p_2| = 15$ .
- ▶ If  $p_1$  has length at least 9, then  $p_1$  is 4-avoidable, hence  $p$  is 4-avoidable by divisibility (likewise for  $p_2$ ).
- ▶ Thus the only remaining case is when  $|p_1| = 8$  and  $|p_2| = 7$  (or vice versa).

## Proof continued (Statement 3)

- ▶ If  $p_1$  or  $p_2$  is not in the list of ternary patterns mentioned before, it is 4-avoidable, hence  $p$  is 4-avoidable.
- ▶ Otherwise  $p_1 = A^2BA^2CA^2$  up to a renaming of the variables. Note that  $p_1$  contains a factor of the form  $A^2BA$  and all of the possible values of  $p_2$  are on three variables, so they must contain  $B$ . This fits the form of a result of Blanchet-Sadri et al. which implies  $p$  is 4-avoidable.
- ▶ For  $m \geq 5$ , our exponential lower bounds and our arbitrarily many holes lemma imply that every pattern with length at least  $2^m$  in which each variable appears at least twice is 3-avoidable.
- ▶ If  $p$  has a variable that occurs exactly once, we reason as in the proof of our main results to complete the induction.



## 6. Conclusion

- ▶ Building upon the work of Rampersad 2011 and the power series techniques of Bell and Goh 2007, we have proved Cassaigne's 1994 conjecture that any pattern  $p$  with  $m$  distinct variables such that  $|p| \geq 3(2^{m-1})$  is 2-avoidable, and any pattern  $p$  with  $m$  distinct variables such that  $|p| \geq 2^m$  is 3-avoidable.
- ▶ Using in addition results and data about partial word avoidability of patterns from Blanchet-Sadri, Lohr and Scott 2012, we have also obtained exponential lower bounds for 2, 3 and 4-avoidability in partial words, the latter bound being strict.
- ▶ We do not know if our bounds for 2 and 3-avoidability in partial words are strict.

Thank you!